

**IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF TEXAS
DALLAS DIVISION**

**SECURITIES AND EXCHANGE
COMMISSION,**

Plaintiff,

v.

MARK CUBAN,

Defendant.

:
:
:
:
:
:
:
:
:
:
:
:

Civil Action No.: 3-08-CV-2050-D (SAF)

**APPENDIX OF EXHIBITS TO
PLAINTIFF SECURITIES AND EXCHANGE COMMISSION'S
OPPOSITION TO DEFENDANT MARK CUBAN'S MOTION TO COMPEL**

A. SEC PRIVILEGE LOGS:

- A-1. Attorney-Client Privilege – Electronic & Hard Copy Documents
- A-2. Work Product Protection – Electronic & Hard Copy Documents
- A-3. Deliberative Process Privilege – Electronic & Hard Copy Documents
- A-4. Law Enforcement Privilege – Electronic Documents
- A-5. Privacy Act – Electronic & Hard Copy Documents
- A-6. Glossary of Names

B. DECLARATIONS:

- B-1. Declaration of Elizabeth Murphy
- B-2. Declaration of Robert B. Kaplan
- B-3. Declaration of Yuri B. Zelinsky
- B-4. Declaration of Stephen J. Korotash

C. DOCUMENTS:

- C-1 MCSEC0002034-35
- C-2 SEC-MC0302501
- C-3 MC0001928-32
- C-4 MC0001913-16
- C-5 MC0001924-27
- C-6 MCSEC0002107-10

- C-7. SEC-MC000871-73**
- C-8. MC0001922**
- C-9. SEC-MC0103181-82 (redacted)**
- C-10. SEC-MC0300725-26**

D. OTHER MATERIALS

- D-1. SEC Responses to Mark Cuban's Interrogatories**
- D-2. SEC Responses to Mark Cuban's Requests for Production**
- D-3. March 26, 2010 Letter Memorializing Meet and Confer**
- D-4. March 25-26, 2010 Email Exchange about Attorney-Client Privilege
Claims for Action Memoranda**

Exhibit A-1

SEC Privilege Log:

Attorney-Client Privilege

Electronic Log

SEC v. Cuban 04-19-2010 Production - Electronic Document AC Privilege Log

SEC Master Log with Index Numbers -- All Privileges											
Index Number	BEGPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
1	SEC-MC0300636	SEC-MC0300647	12/17/2004	Harvey, Paul	McGary, T.N.				Draft outline for taking testimony of Guy Faure in HO-09900 for purposes of obtaining legal advice.	AC, WP	
11	SEC-MC0300967	SEC-MC0300967	10/18/2005	Turner, Alton O.	Harvey, Paul				Email attaching September 30, 2005 legal memorandum on HO-09900	AC, WP	
25	SEC-MC0300371	SEC-MC0300372	2/14/2007	Riewe, J.M.	Friedstad, Scott W.	Chaudoin D.T.; Kaplan,R.B.			Draft formal order of investigation for HO-10576 attached to SEC-MC0300365	AC, DP, WP	
26	SEC-MC0300821	SEC-MC0300821	2/15/2007	Riewe, Julie M.	Kaplan, Robert ; Chaudoin, Daniel T.				Email discussion of evidence in preparation for meeting with Commissioners to obtain authorization to open a formal investigation in HO-10576	AC, DP, WP	
27	SEC-MC0300305	SEC-MC0300305	2/16/2007	Kaplan, Robert	Riewe, Julie M.				Email discussing and forwarding edits to draft Action Memorandum requesting authorization for formal order of investigation in HO-10576.	AC, DP, WP	
29	SEC-MC0300300	SEC-MC0300304	2/20/2007	Kaplan, Robert	Riewe, Julie M.				Draft Action Memorandum in HO-10576 discussing law and evidence in support of recommendation for formal order of investigation, dated February 2007, attached to SEC-MC0300299	AC, DP, WP	
31	SEC-MC0300366	SEC-MC0300370	2/20/2007	Riewe, Julie M.	Friedstad, Scott W.	Chaudoin,D.T.; Kaplan,R.B.			Draft action memorandum presenting material facts, discussing legal issues requesting the Commission to issue a formal order of investigation for HO-10576 attached to SEC-MC0300365	AC, DP, WP	
36	SEC-MC0301809	SEC-MC0301809	2/26/2007	Chaudoin, Daniel T.	Riewe, Julie M.				Email discussion transmitting comments of counsel in Office of General Counsel on draft Action Memorandum seeking formal order of investigation in HO-10576 and discussing issues raised by counsel	AC, DP, WP	
37	SEC-MC0301810	SEC-MC0301811	2/26/2007	Chaudoin, Daniel T.	Riewe, Julie M.			Pisto, L.W.	Email discussion among investigative counsel discussing legal analysis in draft Action Memorandum in HO-10576 in light of comments received from Office of General Counsel	AC, DP, WP	
38	SEC-MC0301812	SEC-MC0301812	2/26/2007	Chaudoin, Daniel T.	Riewe, Julie M.				Email proposing revisions to text of draft Action Memorandum requesting formal order of investigation	AC, DP, WP	
39	SEC-MC0301827	SEC-MC0301827	2/26/2007	Riewe, Julie M.	Chaudoin, Daniel T.				Email string transmitting proposed revisions to legal discussion in draft Action Memorandum in HO-10576 in response to legal advice received from Office of General Counsel	AC, DP, WP	
40	SEC-MC0301828	SEC-MC0301828	2/26/2007	Riewe, Julie M.	Pisto, Lawrence W.	Chaudoin, Daniel T.			Draft Action Memorandum to Commission presenting material facts, discussing legal issues and seeking formal order of investigation	AC, DP, WP	
42	SEC-MC0300348	SEC-MC0300353	2/27/2007	Riewe, J.M.	Kaplan, R.B.				Action Memorandum seeking formal order of investigation for HO-10576, containing counsel's summary of the evidence and law, attached to SEC-MC0301147	AC, DP, WP	
43	SEC-MC0301148	SEC-MC0301153	2/27/2007	Riewe, Julie M.	Griffin, Alvoray ; Chaudoin, Daniel T.				Forwarding Action Memorandum seeking formal order of investigation for HO-10576.	AC, DP, WP	
44	SEC-MC0301608	SEC-MC0301608	2/27/2007	Riewe, Julie M.						AC, DP, WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document AC Privilege Log

Index Number	BEGPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
45	SEC-MC0301609	SEC-MC0301614	2/27/2007	Riwe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.; Friedstad, S.W.	Griffin, Alvonya ; Chaudoin, Daniel T.				Action Memorandum seeking formal order of investigation HO-10576, attached to SEC-MC0301608	AC, DP, WP	
48	SEC-MC0301749	SEC-MC0301749	2/27/2007	Riwe, Julie M.	Pisto, Lawrence W.	Chaudoin, Daniel T.			Transmitting revised draft Action Memorandum seeking formal order of investigation in HO-10576 to obtain legal advice for Commissioners from Office of General Counsel	AC, DP, WP	
49	SEC-MC0301750	SEC-MC0301755	2/27/2007	Riwe, Julie M.	Pisto, Lawrence W.	Chaudoin, Daniel T.			Draft Action Memorandum seeking formal order of investigation in HO-10576 incorporating advice of Office of General Counsel and setting forth counsel's summary of the facts and law	AC, DP, WP	
51	SEC-MC0301826	SEC-MC0301826	2/27/2007	Riwe, Julie M.	Pisto, Lawrence W.	Chaudoin, Daniel T.			Email forwarding investigative counsel's proposed revisions to text to obtain advice of Office of General Counsel on draft Action Memorandum in HO-10576, requesting formal order of investigation	AC, DP, WP	
66	SEC-MC0300290	SEC-MC0300298	4/27/2007	Kaplan, R.B.	Friedstad, S.W.				April 27, 2007 report from R. Kaplan to S. Friedstad summarizing current investigations, including HO-10576, redacting privileged information related to non-relevant investigations	AC, DP, WP	
80	SEC-MC0300587	SEC-MC0300613	5/18/2007	Baldocchi, Deborah	Cox, Christopher				Email discussing and forwarding email exchange between SEC personnel and third party for purpose of obtaining legal advice re: potential employee disciplinary action	AC, DP, PA	
103	SEC-MC0300865	SEC-MC0300866	7/10/2007	Riwe, Julie M.	Kaplan, Robert				Email replying with question to analysis of certain facts and legal issues raised in HO-10576	AC, WP	
105	SEC-MC0301147	SEC-MC0301147	7/12/2007	Riwe, J.M.	Mejia, Lou	ORourke, Kevin			Email forwarding draft formal order memorandum, and outlines for Mark Cuban's Wells call of May 23, 2007 for evaluation	AC, DP, WP	
139	SEC-MC0301101	SEC-MC0301117	7/25/2007	Riwe, Julie M.	ORourke, Kevin				Initial draft action memorandum seeking authorization to bring civil action against Mark Cuban and setting out counsel's thoughts and opinions on evidence and law	AC, DP, WP	
142	SEC-MC0301100	SEC-MC0301100	7/26/2007	Riwe, Julie M.	ORourke, Kevin				Email transmitting initial draft action memorandum seeking authorization to bring civil action against Mark Cuban and setting out counsel's thoughts and opinions on evidence and law	AC, DP, WP	
151	SEC-MC0300455	SEC-MC0300455	8/1/2007	Riwe, Julie M.	Kaplan, Robert				Email transmitting draft Action Memorandum for HO-10576 for review by Kaplan	AC, DP, WP	
152	SEC-MC0300456	SEC-MC0300474	8/1/2007	Riwe, J.M.	File				August 1, 2007 draft of action memorandum presenting material facts, discussing legal issues and seeking authorization to file civil action in HO-10576 attached to SEC-MC0300465	AC, DP, WP	
164	SEC-MC0300425	SEC-MC0300443	8/24/2007	Riwe, J.M.	Kaplan, Robert				August 24, 2007 draft of action memorandum presenting material facts, discussing legal issues and seeking authorization to file civil action in HO-10576 attached to SEC-MC0300424	AC, DP, WP	
168	SEC-MC0300424	SEC-MC0300424	8/28/2007	Riwe, Julie M.	Kaplan, Robert				Email transmitting August 24, 2007 draft action memorandum for HO-10576	AC, DP, WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document AC Privilege Log

Index Number	BSPROD	ENSPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
205	SEC-MC0300252	SEC-MC0300266	10/9/2007	Riwe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.				Draft Action Memorandum in HO-10576 discussing evidence and law in support of recommendation, dated October 3, 2007, attached to SEC-MC0300251.	AC, DP, WP	
206	SEC-MC0301694	SEC-MC0301709	10/9/2007	Chaudoin, D.T.	Riwe, J.M.				Draft Action Memorandum in HO-10576 with counsel's redlined suggestions reflecting his thoughts and impressions about the legal and evidentiary discussions.	AC, DP, WP	
208	SEC-MC0300801	SEC-MC0300801	10/4/2007	Kaplan, Robert	Riwe, Julie M.			Chaudoin, Daniel	Email string forwarding draft action memorandum for HO-10576 with Riwe comments on case law.	AC, DP, WP	
215	SEC-MC0300802	SEC-MC0300802	10/11/2007	Riwe, Julie M.	Kaplan, Robert				Email discussing revisions to draft action memorandum for HO-10576 to address issues raised by counsel for Mark Cuban.	AC, DP, WP	
220	SEC-MC0300222	SEC-MC0300235	10/12/2007	Riwe, Julie M.	Kaplan, Robert				Draft Action Memorandum in HO-10576 discussing law and evidence in support of recommendation, dated October 12, 2007, attached to SEC-MC0300221.	AC, DP, WP	
221	SEC-MC0300144	SEC-MC0300158	10/15/2007	Kaplan, Robert	Riwe, Julie M.			Kaplan, Robert; Riwe, Julie	Memorandum for HO-10576 discussing law and evidence in support of recommendation attached to SEC-MC0300143.	AC, DP, WP	
223	SEC-MC0300207	SEC-MC0300220	10/15/2007	Riwe, Julie M.	Kaplan, Robert			Kaplan, Robert; Riwe, Julie	Draft Action Memorandum in HO-10576 discussing law and evidence in support of recommendation, dated October 15, 2007, attached to SEC-MC0300191.	AC, DP, WP	
224	SEC-MC0301207	SEC-MC0301221	10/15/2007	Riwe, J.M.; Kaplan, R.B.; Chaudoin,	Friestad, S.W.				Draft Action Memorandum discussing law and evidence for purpose of seeking authorization to file civil action in HO-10576 attached to SEC-MC0301206.	AC, DP, WP	
226	SEC-MC0300192	SEC-MC0300205	10/16/2007	Riwe, Julie M.	Kaplan, Robert			Kaplan, Robert; Riwe, Julie	Draft Action Memorandum in HO-10576 discussing law and evidence in support of recommendation, dated October 16, 2007, attached to SEC-MC0300191.	AC, DP, WP	
230	SEC-MC0300160	SEC-MC0300174	10/19/2007	Kaplan, Robert	Riwe, Julie M.			Kaplan, Robert; Riwe, Julie	Draft Action Memorandum in HO-10576, dated October 15, 2007, discussing law and evidence in support of recommendation, attached to SEC-MC0300159.	AC, DP, WP	
232	SEC-MC0300176	SEC-MC0300190	10/19/2007	Kaplan, Robert	Friestad, Scott			Friestad, Scott; Kaplan, Robert	Draft Action Memorandum in HO-10576, dated October 15, 2007, discussing law and evidence in support of recommendation.	AC, DP, WP	
238	SEC-MC0301447	SEC-MC0301447	10/31/2007	O'Rourke, Kevin	O'Rourke, Kevin				Email note containing trial counsel's thoughts and impressions of issues that should be brought to the attention of the Commission in determining whether to authorize filing a civil action against Mark Cuban.	AC, DP, WP	
240	SEC-MC0301446	SEC-MC0301446	11/1/2007	O'Rourke, Kevin	Mejia, Lou				Email forwarding proposed insert for Action Memorandum in HO-10576 discussing issues for the Commission to consider in determining whether to authorize filing a civil action against Mark Cuban.	AC, DP, WP	
243	SEC-MC0300485	SEC-MC0300499	11/13/2007	Kaplan, R.B.; O'Rourke, K.P.; Riwe, J.M.	Kaplan, R.B.; O'Rourke, K.P.; Riwe, J.M.				November 13, 2007 draft of Action Memorandum sent to Scott Friestad, presenting material facts, discussing legal issues and seeking authorization to file civil action in HO-10576.	AC, DP, WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuiam 04-19-2010 Production - Electronic Document AC Privilege Log

Index Number	BEGRPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
244	SEC-MC0300501	SEC-MC0300515	11/13/2007	Riwe, J.M.	Kaplan, R.B. Riwe, J.M.; ORourke, K.P.; Friedstad, S.W.; Chaudoin, D.T.	Friedstad, Scott			November 13, 2007 draft of Action Memorandum presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576, attached to SEC-MC0300500	AC, DP, WP	
245	SEC-MC0301673	SEC-MC0301687	11/13/2007	Riwe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.					Draft Action Memorandum in HO-10576 requesting authorization to file civil action containing counsel's evaluation of the facts and law	AC, DP, WP	
248	SEC-MC0300516	SEC-MC0300528	11/21/2007	Riwe, J.M.	Kaplan, R.B.				November 21, 2007 draft of Action Memorandum presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576	AC, DP, WP	
250	SEC-MC0300571	SEC-MC0300583	11/21/2007	Riwe, Julie M.	Kaplan, Robert				November 21, 2007 draft of Action Memorandum presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576, attached to SEC-MC0300570	AC, DP, WP	
252	SEC-MC0301659	SEC-MC0301671	11/21/2007	Riwe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.; Friedstad, S.W.	Chaudoin, Daniel T.; Kaplan, R.B.				Draft Action Memorandum in HO-10576 containing counsel's evaluation of the facts and law and discussing changes in draft, attached to SEC-MC0301658	AC, DP, WP	
253	SEC-MC0300663	SEC-MC0300075	11/25/2007	O'Rourke, K.P.	Pisto, Lawrence W.				November 26, 2007 draft Action Memorandum for HO-10576, attached to SEC-MC0300062	AC, DP, WP	
254	SEC-MC0300062	SEC-MC0300062	11/26/2007	Riwe, Julie M.	Pisto, Lawrence W.	Kaplan, Robert; Chaudoin, Daniel T.			Email forwarding draft Action Memorandum and associated materials for the purpose of obtaining legal advice for the Commission with respect to the requested action on HO-10576.	AC, DP, WP	
256	SEC-MC0300543	SEC-MC0300555	11/26/2007	Riwe, Julie M.	Friedstad, S.W.; Kaplan, R.B.; Other?				November 26, 2007 draft Action Memorandum presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576	AC, DP, WP	
257	SEC-MC0300556	SEC-MC0300556	11/26/2007	Riwe, Julie M.	O'Rourke, Kevin	Kaplan, Robert			Email transmitting November 26, 2007 draft Action Memorandum for HO-10576 with request for comments before forwarding to Office of General Counsel	AC, DP, WP	
258	SEC-MC0300557	SEC-MC0300569	11/26/2007	Riwe, Julie M.	O'Rourke, Kevin; Kaplan, Robert; Chaudoin, Daniel T.				November 26, 2007 draft Action Memorandum presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576 attached to SEC-MC0300556	AC, DP, WP	
259	SEC-MC0301232	SEC-MC0301232	11/26/2007	O'Rourke, Kevin	Melia, Lou				Email forwarding draft Action Memorandum discussing law and evidence for purpose of seeking authorization to file civil action in HO-10576 with counsel's comments on revisions to draft	AC, DP, WP	
260	SEC-MC0301233	SEC-MC0301245	11/26/2007	O'Rourke, Kevin	Melia, Lou				Draft Action Memorandum regarding HO-10576, attached to SEC-MC0301232	AC, DP, WP	
261	SEC-MC0301564	SEC-MC0301564	11/26/2007	O'Rourke, Kevin	Riwe, Julie M.	Kaplan, Robert			Emails discussing revisions to Action Memorandum recommending Commission authorization to file civil action against Mark Cuban	AC, DP, WP	
262	SEC-MC0301696	SEC-MC0301696	11/26/2007	Riwe, Julie M.	Chaudoin, Daniel T.				Email discussing review of draft Action Memorandum for HO-10576 and exhibits thereto forwarded to Office of Chief Counsel	AC, DP, WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document AC Privilege Log

Index Number	BEGPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Reclassified
263	SEC-MC0301644	SEC-MC0301644	11/26/2007	Riewe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.; Friedstad, S.W.	Chaudoin, Daniel T.				Email transmitting revised Action Memorandum in HO-10576 containing counsel's evaluation of the facts and law and discussing changes in draft.	AC, DP, WP	
264	SEC-MC0301645	SEC-MC0301657	11/26/2007	Friedstad, S.W.	Chaudoin, Daniel T.				Draft Action Memorandum in HO-10576 containing counsel's evaluation of the facts and law and discussing changes in draft.	AC, DP, WP	
265	SEC-MC0300529	SEC-MC0300541	12/19/2007	Riewe, J.M.; Chaudoin, D.T.; Kaplan, R.B.; Friedstad, S.W.	Kaplan, R.B.; Chaudoin, D.T.				December 19, 2007 draft Action Memorandum presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576.	AC, DP, WP	
266	SEC-MC0300778	SEC-MC0300790	12/31/2007	O'Rourke, K.P.	Commissioners				Signed Action Memorandum to Commission presenting material facts, discussing legal issues, and seeking Commission authorization to initiate civil action.	AC, DP, WP	
267	SEC-MC0301616	SEC-MC0301628	12/31/2007	Riewe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.; Friedstad, S.W.	Aguilar, L.A.; Bondi, B.J.; Broadbent, C.L.; Christian, L.; Burns, J.R.; Casey, K.; Christ, M.; Cohen, A.F.; Daigler, M.; Daly, J.D.; David, B.A.; Devine, S.W.; Dimitriou, D.R.; Freeman, S.K.; Gallagher, M.K.; Jensen, D.L.; Jones, C.H.; Kaput, J.L.; Kimpel, S.H.; Konick, J.; May, Z.S.; Mills, B.; Nagesh, A.; Paredes, T.A.; Pierson, K.J.; Post, J.L.; Ramaratnam, Vaughan, L.; Walter, E.; Wheat, M.; Wilkinson, P.; Harmon, F.E.; Friedstad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.; Dav, C.; O'Rourke, K.P.			Action Memorandum setting forth factual and legal basis for seeking authorization to bring a civil action in HO-10576 circulated to Commissioners, Commissioners' staff, senior enforcement officers, and members of HO-10576 team.	AC, DP, WP		
269	SEC-MC0300791	SEC-MC0300791	1/8/2008	Riewe, Julie M.	Levine, R.A.; Pistow, L.W.	Kaplan, Robert ; Chaudoin, Daniel T.			Email transmitting judicial decisions and related materials to the Office of General Counsel for consideration in conjunction with HO-10576, with comments to case team.	AC, DP, WP	
274	SEC-MC0300098	SEC-MC0300101	1/22/2008	Riewe, Julie	Kaplan, Robert			Kaplan, Robert; Riewe, Julie	Draft talking points on HO-10576 prepared by counsel in preparation for January 22, 2008 meeting with Commissioners' legal assistants.	WP, AC, DP	
278	SEC-MC0300117	SEC-MC0300122	1/24/2008	Riewe, J.M.	Kaplan, R.B.				February 27, 2007 version of Action Memorandum discussing law and evidence in support of recommendation with respect to HO-10576 forwarded by R. Kaplan to J. Riewe.	AC, DP, WP	
285	SEC-MC0300129	SEC-MC0300131	1/25/2008	Kaplan, Robert	Friedstad, Scott				January 23, 2008 draft of memorandum on chronology of HO-10576 investigation and employee actions prepared for L. Thomsen to provide to Commissioner Cox, attached to SEC-MC0300128.	AC, DP, WP	
296	SEC-MC0302586	SEC-MC0302586	1/25/2008	Vollmer, Andrew	Canwright, Brian G.	Romero, Christy			Email commenting on legal advice of Office of General Counsel in advance of meeting with Linda Thomsen and Chairman Cox.	AC, DP, WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document AC Privilege Log

Item Number	SEGPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
441	SEC-MC0301766	SEC-MC0301767	10/24/2008	Rewe, Julie M.	Aderton, Adam S. Office of Secretary/Commissioners; Commission Staff; Case Team				Draft press release prepared in anticipation of filing of civil action against Mark Cuban in HO-10576, attached to SEC-MC0301756.	AC, DP, WP	
442	SEC-MC0302020	SEC-MC0302032	10/27/2008	Rewe, J.M.; Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.		Harmon, F.E.; Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Rewe, J.M.; Day, Carnice; O'Rourke, K.P.			Action Memorandum regarding HO-10576, dated December 31, 2007, discussing law and evidence in support of recommendation	AC, DP, WP	
444	SEC-MC0302382	SEC-MC0302384	10/27/2008	Williams, L.	Commissioners; Commissioners' Staff;			Rewe, Julie; Kaplan, Robert; O'Rourke, Kevin;	December 31, 2007 Action Memorandum for HO-10576 setting out evidence and law in support of requested Commission action	AC, DP, WP	
453	SEC-MC0302004	SEC-MC0302005	11/7/2008	Kaplan, Robert	Thomsen, Linda; Friestad, Scott; Curtis, George; McKown, Joan	Rewe, Julie M.		Buford, Charlotte; Doty, Nancy; McCants, Shirle	Email string with summary of recommendation for HO-10576 and note by R.Kaplan re: preparations for Commission Executive Session	AC, DP, WP	
454	SEC-MC0302018	SEC-MC0302019	11/7/2008	Kaplan, Robert	Rewe, Julie M.				Email string forwarding summary of recommendation for HO-10576 in preparation for upcoming November 13, 2008 Commission Executive Session	AC, DP, WP	
455	SEC-MC0302090	SEC-MC0302090	11/7/2008	Rewe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.; O'Rourke, Kevin; Aderton, Adam S.				Email transmitting hypothetical questions and draft answers to assist counsel in preparing for November 13, 2008 Commission Executive Session	AC, DP, WP	
456	SEC-MC0302091	SEC-MC0302093	11/7/2008	Rewe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.; O'Rourke, Kevin; Aderton, Adam S.				Hypothetical questions and draft answers to assist counsel in preparing for November 13, 2008 Commission Executive Session HO-10576 attached to SEC-MC0302090	AC, DP, WP	
459	SEC-MC0302495	SEC-MC0302496	11/7/2008	Kaplan, Robert	Thomsen, Linda; Friestad, Scott; Curtis, George; McKown, Joan	Rewe, Julie M.		Buford, Charlotte; Doty, Nancy; McCants, Shirle	Email string forwarding summary of HO-10576 and staff recommendation in preparation for November 13, 2008 Commission Executive Session	AC, DP, WP	
460	SEC-MC0302399	SEC-MC0302402	11/10/2008	Pisto, L.W.; Levine, R.A.	Bondt, B.J.; Broadbent, C.L.; Burns, J.R.; Cohen, A.F.; Dagler, M.; Daly, J.D.; Davis, B.A.; Dimitriou, D.R.; Freeman, S.K.; Gallagher, M.K.; Jessen, D.L.; Jones, C.H.; Kaput, J.L.; Kimpel, S.H.; Martin, B.J.; May, Z.S.; Post, M.L.; Ramarathnam, S.S.; Rodrigues, C.; Romero, C.L.; Sheppard, L.; Uhlmann, P.; Vaughan, L.; Wheat, M.			Memorandum from the Office of General Counsel providing legal advice on Action Memorandum recommendation for HO-10576	AC, DP, WP		
461	SEC-MC0301222	SEC-MC0301222	11/11/2008	Rewe, Julie M.	O'Rourke, Kevin; Aderton, Adam S.				Email forwarding memorandum prepared by Office of General Counsel addressing legal and evidentiary issues in HO-10576	AC, WP	
464	SEC-MC0301188	SEC-MC0301188	11/12/2008	Friestad, Scott	McKown, Joan; Curtis, George			Kaplan, R.B.; Chaudoin, D.T.; Rewe, J.M.	Email forwarding comments from Office of General Counsel on HO-10576 Action Memorandum	AC, DP, WP	
465	SEC-MC0301189	SEC-MC0301182	11/12/2008	Levine, R.A.; Pisto, L.	Friestad, S.W.; kaplan, R.B.; Chaudoin, D.T.; Rewe, J.M.; McKown, J.				Draft memorandum containing Office of General Counsel analysis of evidence and legal issues raised in HO-10576 prepared in anticipation of November 13, 2008 Commission Executive Session	AC, DP, WP	
466	SEC-MC0301223	SEC-MC0301226	11/12/2008	Levine, R.A.; Pisto, L.	O'Rourke, Kevin; Aderton, Adam S.; Rewe, J.M.				Memorandum prepared by Office of General Counsel addressing legal and evidentiary issues in HO-10576 attached to SEC-MC0301222	AC, DP, WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-18-2010 Production - Electronic Document AC Privilege Log

Index Number	BEGPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
468	SEC-MC0301228	SEC-MC0301231	11/12/2008	Levine, R.A.; Pisto, L.	O'Rourke, Kevin; Aderton, Adam S.; Rewe, J.M.	Melia, Lou			Memorandum prepared by Office of General Counsel addressing legal and evidentiary issues in HO-10576 attached to SEC-MC0301222	AC, DP, WP	
469	SEC-MC0302468	SEC-MC0302468	11/12/2008	Kaplan, Robert	Thomsen, Linda			Levine, Richard; Friestad, Scott; Chaudoin, Robert; Rewe, Julie;	Email forwarding memorandum prepared by the Office of General Counsel regarding HO-10576 in preparation for Commission deliberation on November 13, 2008.	AC, WP	
470	SEC-MC0302469	SEC-MC0302472	11/12/2008	Levine, R.A.; Pisto, L.W.	Kaplan, R.B.	Thomsen, Linda		Friestad, Scott; Chaudoin, Robert; Rewe, Julie;	Internal memorandum prepared by the Office of General Counsel, providing legal advice to Commission to assist its decision-making on request for authorization to file civil suit against Mark Cuban in HO-10576, attached to SEC-MC0302468	AC, DP, WP	
472	SEC-MC0300763	SEC-MC0300763	11/13/2008	Rewe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.				Email discussion of question raised by Office of General Counsel to assist counsel in providing its evaluation to the Commission in HO-10576	AC, DP, WP	
498	SEC-MC0302584	SEC-MC0302585	11/17/2008	Cerwright, Brian G.	Humes, Richard M.			Nester, John; Weinstein, Andrew; Uhlmann, Peter; Cohen, t, Brian G.; Holmire, Erik; Ruiz, Diego;	Email forwarding draft response to press inquiries about Commission deliberation prior to filing civil complaint in SEC v. Mark Cuban for purpose of obtaining legal advice on content of draft response	AC, WP	
508	SEC-MC0300610	SEC-MC0300612	8/19/2009	Turner, A.O.	Zelinski, Y.	Harley, Paul			Draft investigation Closing Narrative for HO-09900 investigation, discussing investigation conducted, conclusions reached and satisfaction of internal compliance requirements attached to SEC-MC0300609	AC, DP, WP	
510	SEC-MC0300651	SEC-MC0300653	1/22/2010	McGarey, Timothy N.	Draddy, S.				Draft letter to counsel at FINRA responding to request for information relating to Copernic and discussing notice to Copernic closing of HO-09900 investigation, attached to SEC-MC0300654	AC, LE, WP	
511	SEC-MC0300624	SEC-MC0300635	1/00/2005	Harley, Paul	McGarey, T.N.				Draft outline for taking testimony of Guy Faure in HO-09900 forwarded to counsel for purposes of obtaining legal advice	AC, WP	
512	SEC-MC0300355	SEC-MC0300359	2/00/2007	Rewe, J.M.	Kaplan, R.B.				Draft action memorandum presenting material facts, discussing legal issues and requesting the Commission to issue a formal order of investigation for HO-10576	AC, DP, WP	
513	SEC-MC0300374	SEC-MC0300378	2/00/2007	Rewe, J.M.	Kaplan, R.B.	Chaudoin, D.T.			Draft action memorandum presenting material facts, discussing legal issues requesting the Commission to issue a formal order of investigation for HO-10576	AC, DP, WP	
514	SEC-MC0300360	SEC-MC0300364	3/00/2007	Rewe, J.M.	Kaplan, R.B.; Chaudoin, D.T.				Draft Action Memorandum to Commission presenting material facts, discussing legal issues and seeking formal order of investigation for HO-10576	AC, DP, WP	
516	SEC-MC0300614	SEC-MC0300616	8/00/2009	Turner, A.O.; Harley, P.	Koch, Alexander	Harley, P.			Closing Narrative for HO-09900 investigation, discussing investigation conducted, conclusions reached and satisfaction of internal compliance requirements attached to SEC-MC0300613	AC, DP, WP	
517	SEC-MC0300617	SEC-MC0300619	8/00/2009	Turner, A.O.	Koch, Alexander	Harley, P.			Draft (with redlines) investigation Closing Narrative for HO-09900 investigation, discussing investigation conducted, conclusions reached and satisfaction of internal compliance requirements.	AC, DP, WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document AC Privilege Log

Index Number	BESPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
518	SEC-MC0300621	SEC-MC0300623	8/00/2009	Turner, A.O.	Harley, Paul				Draft Investigation Closing Narrative for HO-09900, discussing investigation conducted, conclusions reached and satisfaction of internal compliance requirements attached to SEC-MC0300620	AC, DP, WP	
520	SEC-MC0300950	SEC-MC0300950		ORourke, Kevin	Kaplan, Robert ; Rewe, Julie M.				Additional discussion to be included in draft Action Memorandum for HO-10576 discussing legal strategy and evidentiary issues	AC, DP, WP	
521	SEC-MC0301124	SEC-MC0301146		Rewe, Julie M.	ORourke, Kevin				Table listing Wells arguments and counsel's responses thereto attached to SEC-MC0301123	AC, WP	
522			3/1/2007	Walker, Dick; Culler, Steve	SEC Enforcement Division				New Division Policy on Confirmation of Wells Notices -- Privileged & Confidential -- updated March 1, 2007	AC, DP, WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

Hard Copy Log

SEC v. Cuban 04-19-2010 Production - Hard Copy AC Privilege Log

INDEX NUMBER	BEGPROD	ENDPROD	DATE	AUTHOR	RECIPIENT	CC:	DESCRIPTION OF DOCUMENT/REDACTION	PRIVILEGE	REDACTION
2	SEC-MC0200949	SEC-MC0200984	2007.02.27	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.	SEC Commission		Action Memorandum requesting Commission to issue a formal order of investigation in HO-10576 with investigative counsel's analysis of relevant facts and legal issues	AC, DP, WP	
3	SEC-MC0201769	SEC-MC0201774	2007.02.27	Kaplan, R.B.; Friestad, S.W.; Chaudoin, D.T.; Riewe, J.M.	File		Draft of the Action Memorandum for HO-10576 seeking formal order of private investigation containing analysis of evidence and law with handwritten notes of R.B. Kaplan reflecting strategy	AC, DP, WP	
9	SEC-MC0200442	SEC-MC0200443 (duplicate at SEC-MC0200904-05)	2007.03.12	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.; Cullen, L.	Cullen, L. Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.		Draft Commission Order Directing Private Investigation and Designating Officers to Take Testimony for HO-10576 setting forth legal and factual basis for undertaking formal investigation with handwritten comments of Linda Cullen	AC, DP, WP	
15	SEC-MC0200430	SEC-MC0200441	2007.06.28	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.	Investigative Team		Draft Action Memorandum for HO-10576 requesting Commission decision and providing legal staff's analysis of the facts and law and requesting Commission action	AC, DP, WP	
16	SEC-MC0200892	SEC-MC0200903	2007.06.28	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.	Investigative Team		Draft Action Memorandum for HO-10576 requesting Commission decision and providing legal staff's analysis of the facts and law	AC, DP, WP	
47	SEC-MC0200416	SEC-MC0200429 (duplicate at SEC-MC0200878-91)	2007.10.15	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.; O'Rourke, K.P.	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.		Handwritten comments and edits of S.W. Friestad on draft Action Memorandum for HO-10576 requesting Commission decision and providing legal staff's analysis of the facts and law	AC, DP, WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Hard Copy AC Privilege Log

INDEX NUMBER	BEGPROD	ENDPROD	DATE	AUTHOR	RECIPIENT	CC:	DESCRIPTION OF DOCUMENT/REDACTION	PRIVILEGE	REDACTION
48	SEC-MC0201790	SEC-MC0201803	2007.10.15	Friestad, S.W.	File and HO-10576 team		Draft Action Memorandum for HO-10576 containing analysis of law and evidence with edits from S.W. Friestad	AC, DP, WP	
49	SEC-MC0200410	SEC-MC0200415 (duplicate at SEC-MC0200872-77)	2007.11.01	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.; O'Rourke, K.P.	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.		Handwritten comments and edits of K.P. O'Rourke on draft Action Memorandum for HO-10576 requesting Commission decision and providing legal staff's analysis of the facts and law	AC, DP, WP	
50	SEC-MC0201804	SEC-MC0201817	2007.11.13	HO-10576 Case Team	File and HO-10576 team		Draft of Action Memorandum for HO-10576 containing analysis of the evidence and the law with handwritten edits of S.W. Friestad	AC, DP, WP	
51	SEC-MC0200394	SEC-MC0200409	2007.11.21	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.; O'Rourke, K.P.	Case Team		Draft Action Memorandum for HO-10576 requesting Commission decision and providing legal staff's analysis of the facts and law with handwritten comments of S.W. Friestad and J.M. Riewe	AC, DP, WP	
52	SEC-MC0200858	SEC-MC0200871	2007.11.21	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.; O'Rourke, K.P.	Case Team		Draft Action Memorandum for HO-10576 requesting Commission decision and providing legal staff's analysis of the facts and law with handwritten comments of S.W. Friestad	AC, DP, WP	
53	SEC-MC0201777	SEC-MC0201789	2007.12.31	Friestad, S.W.	File		Handwritten notes of S.W. Friestad on Action Memorandum for HO-10576 reflecting his thoughts for discussion with the Commission.	AC, DP, WP	
54	SEC-MC0200242	SEC-MC0200245	2008.01.00	Riewe, J.M.	Case Team		Outline of legal and factual issues to discuss with Commissioners' Legal Assistants on January 22, 2008 in HO-10576 with handwritten notes of J.M. Riewe	AC, DP, WP	
55	SEC-MC0200246	SEC-MC0200249	2008.01.00	Riewe, J.M.	Case Team		Outline of legal and factual issues to discuss with Commissioners' Legal Assistants on January 22, 2008 in HO-10576	AC, DP, WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Hard Copy AC Privilege Log

INDEX NUMBER	BEGPROD	ENDPROD	DATE	AUTHOR	RECIPIENT	CC:	DESCRIPTION OF DOCUMENT/REDACTION	PRIVILEGE	REDACTION
56	SEC-MC0200796	SEC-MC0200799	2008.01.00	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.; O'Rourke, K.P.	Case Team		Draft Talking Points for anticipated January 22, 2008 Meeting with Commissioners' Legal Assistant in HO-10576 setting forth counsels' analysis of the relevant facts and law with handwritten notes and edits of J.M. Riewe	AC, DP, WP	
57	SEC-MC0200800	SEC-MC0200803	2008.01.00	Riewe, J.M.	Case Team		Draft Talking Points for anticipated January 22, 2008 Meeting with Commissioners' Legal Assistants in HO-10576 setting forth counsels' analysis of the relevant facts and law	AC, DP, WP	
60	SEC-MC0201764	SEC-MC0201766	2008.01.00	Kaplan, R.B.	File		Draft of memorandum from Linda C. Thomsen to Christopher Cox outlining the chronology of the HO-10576 with handwritten edits of R.B. Kaplan	AC, DP, WP	
63	SEC-MC0201606	SEC-MC0201608	2008.01.31	Levine, R.; Pistow, L.	Case Team		Memorandum prepared by counsel in the Office of General Counsel addressing issues to be considered by Commissioners in conjunction with Action Memorandum for HO-10576	AC, DP, WP	
69	SEC-MC0200250	SEC-MC0200252	2008.11.00	Riewe, J.M.	Case Team		Draft Talking Points for November 13, 2008 meeting with the Commissioners to discuss staff recommendation for HO-10576	AC, DP, WP	
71	SEC-MC0201609	SEC-MC0201612	2008.11.12	Levine, R.; Pistow, L.	Commissioners and Staff; HO-10576 Case Team		OFFICIAL COMMISSION RECORD HO-10576 -- Memorandum prepared by counsel in the Office of General Counsel addressing issues to be considered by Commissioners in conjunction with Action Memorandum	AC, DP, WP	
72	SEC-MC0200305	SEC-MC0200308	2008.11.13	Levine, R.; Pisto, L.	Commissioners and Staff		Memorandum prepared by attorneys in Commission's Office of General Counsel addressing legal and factual issues raised in Action Memo for HO-10576 with handwritten notes of J.M. Riewe	AC, DP, WP	
73	SEC-MC0200987	SEC-MC0201602	2008.11.13	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.; O'Rourke, K.P.	SEC Commissioners		OFFICIAL COMMISSION RECORD HO-10576 -- Action Memorandum requesting Commission to authorize filing a civil action in HO-10576 with investigative and litigation counsel's analysis of relevant facts and legal issues with Secretary's Notations of Agency Action taken on November 13, 2008 with Official Commission File, including Wells Submission of June 29, 2007, Wells Submission of September 21, 2007 (and exhibits thereto), R.C. Ferrara September 21, 2007 letter to S.W. Friestad (and exhibits attached thereto), and S.W. Friestad letter of September 24, 2007 to R. C. Ferrara.	AC, DP, WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production – Hard Copy AC Privilege Log

INDEX NUMBER	BEGPROD	ENDPROD	DATE	AUTHOR	RECIPIENT	CC:	DESCRIPTION OF DOCUMENT/REDACTION	PRIVILEGE	REDACTION
74			2008.11.13	Commission Executive Session	Commissioners, Senior Staff, Members of Investigative team and Senior Enforcement Staff		Tape recording of Closed Executive Meeting of Commissioners to consider Action Memorandum in HO-10576 requesting authorization to bring civil action against Mark Cuban for insider trading	AC, DP, WP	
75	SEC-MC0200985	SEC-MC0200986	2008.11.13	Taylor, J.L.; Kimps, M.M.	Official Commission Files		Minutes of substantive discussion among Commissioners during Executive Session November 13, 2008 discussing whether to authorize filing a civil suit against Mark Cuban HO-10576	AC, DC, WP	Yes

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

Exhibit A-2

SEC Privilege Log:

Work Product Privilege

Electronic Log

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	SEC PROD	END PROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
1	SEC-MC0300636	SEC-MC0300647	12/17/2004	Harley, Paul	McGary, T.N.				Draft outline for taking testimony of Guy Faure in HO-09900 for purposes of obtaining legal advice.	WP, AC	
2	SEC-MC0300926	SEC-MC0300937	12/17/2004	Turner, Alton O.	Harley, Paul				Draft outline for planned voluntary testimony of Guy Faure in HO-09900.	WP	
4	SEC-MC0300924	SEC-MC0300924	3/22/2005	Turner, Alton O.	Harley, Paul				Email transmitting draft outline for taking testimony of Guy Faure in HO-09900.	WP	
5	SEC-MC0300925	SEC-MC0300925	3/23/2005	Harley, Paul	Turner, Alton O.				Email responding with comments to transmission of draft outline for taking testimony of Guy Faure in HO-09900.	WP	
6	SEC-MC0300908	SEC-MC0300908	3/29/2005	Turner, Alton O.	Brockmeyer, Kara; Harley, Paul				Email discussing scheduling testimony of Guy Faure in HO-09900.	WP	
7	SEC-MC0300909	SEC-MC0300909	3/29/2005	Turner, Alton O.	Harley, Paul				Email transmitting outline for taking testimony of Guy Faure in HO-09900.	WP	
8	SEC-MC0300910	SEC-MC0300923	3/29/2005	Turner, Alton O.	Harley, Paul				Outline for taking voluntary testimony of Guy Faure in HO-09900.	WP	
9	SEC-MC0301895	SEC-MC0301905	6/29/2005	Turner, Alton O.	Chion, A.; Zelinsky, Y.				Redacted entries containing work product information regarding the HO-09900 investigation and relating to other investigations.	WP	Yes
10	SEC-MC0300968	SEC-MC0300971	9/30/2005	Turner, Alton; Brockmeyer, Kara; Zelinsky, Yuri	Chion, Antonia				Legal Memorandum discussing staff investigation and recommendation for HO-09900 attached to SEC-MC0300967.	WP	
11	SEC-MC0300967	SEC-MC0300967	10/19/2005	Turner, Alton O.	Harley, Paul				Email attaching September 30, 2005 legal memorandum on HO-09900.	WP, AC	
12	SEC-MC0300972	SEC-MC0300972	10/19/2005	Harley, Paul	Turner, Alton O.				Email forwarding Memorandum setting forth evidence and law in support of bringing an enforcement action in HO-09900.	WP, DP	
13	SEC-MC0300945	SEC-MC0300947	10/26/2005	Turner, Alton O.	Zelinsky, Yuri; Brockmeyer, Kara				Email forwarding tip relating to purchases of Marmma.com shares in HO-09900.	WP, LE	
14	SEC-MC0300966	SEC-MC0300966	11/9/2005	Turner, Alton O.	Zelinsky, Yuri	Brockmeyer, Kara			Redaction of email discussing possible next steps for investigation in HO-09900.	WP	Yes
15	SEC-MC0300964	SEC-MC0300965	12/23/2005	Turner, Alton O.	Zelinsky, Yuri	Brockmeyer, Kara			Redaction of work product related to evaluation of potential claims and further discovery needed in HO-09900.	WP	Yes
16	SEC-MC0300966	SEC-MC0300967	1/18/2006	Turner, Alton O.	Ungar, Michael A.				Email providing quarterly substantive summary of ongoing investigations, including HO-09900-A.	WP	
17	SEC-MC0301889	SEC-MC0301895	1/19/2006	Turner, Alton O.	Chion, A.; Zelinsky, Y.				Redacted entries containing work product information regarding the HO-09900 investigation and relating to other investigations.	WP	Yes
18	SEC-MC0301785	SEC-MC0301785	12/6/2006	Rewes, Julie M.	Chaudoin, Daniel T.	Kelly, Anthony S.			Redacted investigative counsel's comments on evidence and next steps to be taken in HO-10576 investigation.	WP	Yes
19	SEC-MC0301783	SEC-MC0301783	12/7/2006	Rewes, Julie M.	Chaudoin, Daniel T.				Email discussion among counsel re: discussion with counsel for Meriman in HO-10576.	WP	
20	SEC-MC0301784	SEC-MC0301784	12/7/2006	Rewes, Julie M.	Chaudoin, Daniel T.; Kelly, Anthony S.				Email forwarding potential evidence for use in HO-10576.	WP	
21	SEC-MC0301782	SEC-MC0301782	12/12/2006	Chaudoin, Daniel T.	Rewes, Julie M.				Email forwarding potential evidence for use in HO-10576.	WP	
23	SEC-MC0301509	SEC-MC0301511	12/14/2006	Kaplan, Robert	Friedstad, Scott				Email reporting on evidence obtained in HO-10576 investigation and other non-responsive investigations.	WP	
24	SEC-MC0301597	SEC-MC0301598	1/3/2007	Chaudoin, Daniel T.	Rewes, Julie M.			Bush, J. Carr, J.M.	Email string discussing draft memorandum seeking authorization to open formal investigation for HO-10576.	WP, DP	
25	SEC-MC0300371	SEC-MC0300372	2/14/2007	Rewes, J.M.	Friedstad, Scott W.	Chaudoin, D.T.; Kaplan, R.B.			Draft formal order of investigation for HO-10576 attached to SEC-MC0300365.	WP, AC, DP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	SEGPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
26	SEC-MC0300821	SEC-MC0300821	2/19/2007	Rieve, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.				Email discussion of evidence in preparation for meeting with Commissioners to obtain authorization to open a formal investigation in HO-10576.	WP, AC, DP	
27	SEC-MC0300305	SEC-MC0300305	2/19/2007	Kaplan, Robert	Rieve, Julie M.				Email discussing and forwarding edits to draft Action Memorandum requesting authorization for formal order of investigation in HO-10576.	WP, AC, DP	
28	SEC-MC0300299	SEC-MC0300299	2/20/2007	Kaplan, Robert	Rieve, Julie M.				Email forwarding draft Action Memorandum requesting formal order of investigation in HO-10576.	WP	
29	SEC-MC0300300	SEC-MC0300304	2/20/2007	Kaplan, Robert	Rieve, Julie M.				Draft Action Memorandum in HO-10576 discussing law and evidence in support of recommendation for formal order of investigation, dated February 2007, attached to SEC-MC0300299.	WP, AC, DP	
30	SEC-MC0300365	SEC-MC0300365	2/20/2007	Rieve, Julie M.	Friedstad, Scott	Kaplan, Robert; Chaudoin, Daniel T.			Email transmitting draft Action Memorandum requesting the Commission to issue a formal order of investigation in HO-10576 and draft formal order of investigation.	WP	
31	SEC-MC0300366	SEC-MC0300370	2/20/2007	Rieve, Julie M.	Friedstad, Scott W.	Chaudoin, D.T.; Kaplan, R.B.			Draft action memorandum presenting material facts, discussing legal issues requesting the Commission to issue a formal order of investigation for HO-10576 attached to SEC-MC0300365.	WP, AC, DP	
32	SEC-MC0300373	SEC-MC0300373	2/20/2007	Rieve, Julie M.	Kaplan, Robert	Chaudoin, Daniel T.			Email siring with internal communications among investigative team members re: contents of action memorandum in HO-10576.	WP, DP	
33	SEC-MC0300813	SEC-MC0300814	2/21/2007	Kaplan, Robert	Friedstad, Scott	Rieve, Julie M.		Chaudoin, Daniel T.; Kelly, Anthony, S.	Email siring discussing December 2006 discovery of evidence of possible violation of securities laws and counsel's initial investigation in HO-10576.	WP	
34	SEC-MC0301154	SEC-MC0301155	2/23/2007	Kaplan, R.B.; Friedstad, S.W.	Mella, Lou				Draft outline for Wells call with Mark Cuban on May 23, 2007 in HO-10576 attached to SEC-MC0301147.	WP	
35	SEC-MC0301156	SEC-MC0301157	2/23/2007	Kaplan, R.B.; Friedstad, S.W.	Mella, Lou				Draft outline for Wells call with Mark Cuban on May 23, 2007 in HO-10576 attached to SEC-MC0301147.	WP	
36	SEC-MC0301809	SEC-MC0301809	2/26/2007	Chaudoin, Daniel T.	Rieve, Julie M.				Email discussion transmitting comments of counsel in Office of General Counsel on draft Action Memorandum seeking formal order of investigation in HO-10576 and discussing issues raised by counsel.	WP, AC, DP	
37	SEC-MC0301810	SEC-MC0301811	2/26/2007	Chaudoin, Daniel T.	Rieve, Julie M.			Pisio, L.W.	Email discussion among investigative counsel discussing legal analysis in draft Action Memorandum in HO-10576 requesting formal order of investigation in light of comments received from Office of General Counsel.	WP, AC, DP	
38	SEC-MC0301812	SEC-MC0301812	2/26/2007	Chaudoin, Daniel T.	Rieve, Julie M.				Email discussion among investigative counsel discussing revisions to summary of evidence in draft Action Memorandum in HO-10576, requesting formal order of investigation.	WP, AC, DP	
39	SEC-MC0301827	SEC-MC0301827	2/26/2007	Rieve, Julie M.	Chaudoin, Daniel T.				Email proposing revisions to text of draft Action Memorandum requesting formal order of investigation.	WP, AC, DP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	BEGPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
40	SEC-MC0301828	SEC-MC0301828	2/26/2007	Riewe, Julie M.	Pisto, Lawrence W.	Chaudoin, Daniel T.			Email string transmitting proposed revisions to legal discussion in draft Action Memorandum in HO-10576 in response to legal advice received from Office of General Counsel	WP, AC, DP	
41	SEC-MC0301839	SEC-MC0301839	2/26/2007	Riewe, Julie M.	Chaudoin, Daniel T.				Email discussion among investigative counsel discussing legal decision and its application to HO-10576	WP	
42	SEC-MC0300348	SEC-MC0300353	2/27/2007	Riewe, J.M.	Kaplan, R.B.				Draft Action Memorandum to Commission presenting material facts, discussing legal issues and seeking formal order of investigation	WP, AC, DP	
43	SEC-MC0301148	SEC-MC0301153	2/27/2007	Riewe, J.M.	Mejia, Lou				Action Memorandum seeking formal order of investigation for HO-10576, containing counsel's summary of the evidence and law, attached to SEC-MC0301147	WP, AC, DP	
44	SEC-MC0301608	SEC-MC0301608	2/27/2007	Riewe, Julie M.	Griffin, Alvonya ; Chaudoin, Daniel T.				Forwarding Action Memorandum seeking formal order of investigation for HO-10576	WP, AC, DP	
45	SEC-MC0301609	SEC-MC0301614	2/27/2007	Riewe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.; Friestad, S.W.	Griffin, Alvonya ; Chaudoin, Daniel T.				Action Memorandum seeking formal order of investigation HO-10576, attached to SEC-MC0301608	WP, AC, DP	
46	SEC-MC0301743	SEC-MC0301743	2/27/2007	Riewe, Julie M.	Chaudoin, Daniel T.				Transmitting for review draft document subpoena in HO-10576 addressed to Mark Cuban for review	WP	
47	SEC-MC0301744	SEC-MC0301748	2/27/2007	Riewe, Julie M.	Chaudoin, Daniel T.				Draft subpoena for documents in HO-10576 addressed to Mark Cuban	WP	
48	SEC-MC0301749	SEC-MC0301749	2/27/2007	Riewe, Julie M.	Pisto, Lawrence W.	Chaudoin, Daniel T.			Transmitting revised draft Action Memorandum seeking formal order of investigation in HO-10576 to obtain legal advice for Commissioners from Office of General Counsel	WP, AC, DP	
49	SEC-MC0301750	SEC-MC0301755	2/27/2007	Riewe, Julie M.	Pisto, Lawrence W.	Chaudoin, Daniel T.			Draft Action Memorandum seeking formal order of investigation in HO-10576 incorporating advice of Office of General Counsel and setting forth counsel's summary of the facts and law	WP, AC, DP	
50	SEC-MC0301808	SEC-MC0301808	2/27/2007	Chaudoin, Daniel T.	Riewe, Julie M.				Email transmitting counsel's summary of evidence in HO-10576 in support of obtaining formal order of investigation	WP, DP	
51	SEC-MC0301826	SEC-MC0301826	2/27/2007	Riewe, Julie M.	Pisto, Lawrence W.	Chaudoin, Daniel T.			Email forwarding investigative counsel's proposed revisions to text to obtain advice of Office of General Counsel on draft Action Memorandum in HO-10576, requesting formal order of investigation	WP, AC, DP	
52	SEC-MC0301741	SEC-MC0301742	3/1/2007	Riewe, J.M.	Chaudoin, D.T.				Draft outline for taking voluntary testimony of David Goldman in HO-10576	WP	
53	SEC-MC0301806	SEC-MC0301807	3/1/2007	Chaudoin, Daniel T.	Riewe, J.M.				Nonresponsive work product redacted from email among investigative counsel about scheduling conference call with D. Goldman and his counsel	WP	Yes
54	SEC-MC0300346	SEC-MC0300347	3/2/2007	Riewe, J.M.	File				Memorandum memorializing attorney thoughts and impressions of interview of David Goldman on March 2, 2007	WP	
55	SEC-MC0300955	SEC-MC0300955	3/9/2007	Kaplan, Robert	Friestad, Scott				Email discussing communications with Chairman's office with respect to obtaining formal order of investigation for HO-10576	WP, DP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Process, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	BESPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Reflected
56	SEC-MC0300354	SEC-MC0300354	3/12/2007	Riwe, Julie M.	Kaplan, Robert				Email transmitting 2/20/2007 draft formal order and draft formal order memorandum for Mamma.com investigation	WP	
57	SEC-MC0300818	SEC-MC0300819	3/12/2007	Riwe, Julie M.	Kaplan, Robert			Chaudin, Daniel T.	Redaction of discussion among case counsel about documents obtained in HO-10576	WP	Yes
58	SEC-MC0300049	SEC-MC0300049	3/21/2007	Turner, A.O.	Zelinski, Y.			Soper, L.	Forwarding email from Office of Chief Accountant seeking advice on issues raised by counsel in HO-0990 investigation	WP	Yes
59	SEC-MC0300345	SEC-MC0300345	4/4/2007	Riwe, Julie M.	Kaplan, Robert				Email transmitting copy of memorandum memorializing interview of David Goldman on March 2, 2007.	WP	
60	SEC-MC0300812	SEC-MC0300812	4/4/2007	Kaplan, Robert	Riwe, Julie M.				Email responding to memorandum memorializing counsel's thoughts and impressions of interview of David Goldman in HO-10576	WP	
61	SEC-MC0300817	SEC-MC0300817	4/4/2007	Riwe, Julie M.	Kaplan, Robert				Email responding to memorandum memorializing counsel's thoughts and impressions of interview of David Goldman in HO-10576	WP	
62	SEC-MC0301781	SEC-MC0301781	4/4/2007	Riwe, Julie M.	Chaudoin, Daniel T.			Kaplan, R.B.	Email forwarding email discussion between counsel about testimony obtained in HO-10576	WP	
63	SEC-MC0300050	SEC-MC0300052	4/16/2007	Kaplan, Robert	Riwe, Julie M.			Kaplan, Robert; Riwe, Julie; Katz, Merrill	Email string responding to complaint of manipulation of Mamma.com stock forwarded by Office of Investor Education and Assistance	WP	
64	SEC-MC0300053	SEC-MC0300055	4/16/2007	Kaplan, Robert	Riwe, Julie M.			Kaplan, Robert; Riwe, Julie; Katz, Merrill	Email string discussing referral of complaint of manipulation of Mamma.com stock forwarded by Office of Investor Education and Assistance	WP	
65	SEC-MC0301731	SEC-MC0301740	4/23/2007	Chaudoin, D.T.	Kaplan, R.B.				Draft Quarterly Status Report discussing activity in pending cases including HO-10576	WP	
66	SEC-MC0300290	SEC-MC0300298	4/27/2007	Kaplan, R.B.	Friedstad, S.W.				April 27, 2007 report from R. Kaplan to S. Friedstad summarizing current investigations, including HO-10576, redacting privileged information related to non-relevant investigations	WP, AC, DP	
67	SEC-MC0300332	SEC-MC0300332	5/14/2007	Riwe, Julie M.	Friedstad, Scott	Kaplan, Robert; Chaudoin, Daniel T.			Email transmitting outline and discussing strategy for Wells call with M. Cuban regarding HO-10576.	WP	
68	SEC-MC0300333	SEC-MC0300336	5/14/2007	Riwe, Julie M.	Friedstad, Scott	Kaplan, Robert; Chaudoin, Daniel T.			Draft Wells outline for call with M. Cuban in HO-10576 attached to SEC-MC0300332.	WP	
69	SEC-MC0300337	SEC-MC0300337	5/14/2007	Riwe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.				Email transmitting revised Wells outline for call with M. Cuban regarding HO-10576.	WP	
70	SEC-MC0300338	SEC-MC0300341	5/14/2007	Riwe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.				Draft revised Wells outline for call with M. Cuban regarding HO-10576, attached to SEC-MC0300337.	WP	
71	SEC-MC0300342	SEC-MC0300342	5/14/2007	Riwe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.				Email transmitting Wells outline for call with M. Cuban regarding HO-10576.	WP	
72	SEC-MC0300343	SEC-MC0300344	5/14/2007	Riwe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.				Draft Wells outline for call with M. Cuban regarding HO-10576, attached to SEC-MC0300342.	WP	
73	SEC-MC03003027	SEC-MC0300327	5/15/2007	Friedstad, S.W.	Bresnan, P.	Riwe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.			Email transmitting draft Wells outline for call with M. Cuban	WP, DP	
74	SEC-MC0300306	SEC-MC0300310	5/15/2007	Friedstad, S.W.	Bresnan, P.	Riwe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.			Email from Friedstad to Bresnan re: Wells call to Cuban and attaching Wells outline, forwarded to investigation team	WP, DP	
75	SEC-MC0300328	SEC-MC0300331	5/15/2007	Friedstad, Scott	Kaplan, Robert; Chaudoin, Daniel T.; Riwe, Julie M.				Draft Wells outline for call with M. Cuban regarding HO-10576, attached to SEC-MC0300327.	WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	BEGPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
76	SEC-MC0301172	SEC-MC0301172	5/15/2007	Friestad, Scott	Bresnan, Peter				Email transmitting draft outline for Cuban Wells call to occur in May 2007 with comments of counsel	WP, DP	
77	SEC-MC0301173	SEC-MC0301176	5/15/2007	Friestad, Scott	Bresnan, Peter				Draft outline for Cuban Wells call attached to SEC-MC0301172	WP, DP	
78	SEC-MC0301639	SEC-MC0301639	5/15/2007	Friestad, Scott	Kaplan, Robert; Chaudoin, Daniel T.; Rewe, Julie M.			Bresnan, P.	Email attaching draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban	WP	
79	SEC-MC0301640	SEC-MC0301643	5/15/2007	Friestad, Scott; Rewe, Julie M.; Kaplan, R.B.					Draft outline for Wells call in HO-10576 containing counsel's evaluation of the facts and law, attached to SEC-MC0301639	WP	
81	SEC-MC0300317	SEC-MC0300317	5/21/2007	Rewe, Julie M.	Bresnan, Peter				Email discussing and transmitting draft Wells outline for call with M. Cuban regarding HO-10576, call with M. Cuban	WP	
82	SEC-MC0300318	SEC-MC0300319	5/21/2007	Rewe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.				Draft Wells outline for call with M. Cuban regarding HO-10576 attached to SEC-MC0300317	WP	
83	SEC-MC0300320	SEC-MC0300320	5/21/2007	Rewe, Julie M.	Kaplan, Robert				Transmitting draft Wells letter and draft Wells outline for call with M. Cuban in HO-10576, letter dated May 22, 2007 in HO-10576, attached to SEC-MC0300320	WP	
84	SEC-MC0300321	SEC-MC0300322	5/21/2007	Rewe, Julie M.	Kaplan, Robert				Draft Wells outline for call with M. Cuban regarding HO-10576, attached to SEC-MC0300320	WP	
85	SEC-MC0300323	SEC-MC0300326	5/21/2007	Rewe, Julie M.	Kaplan, Robert				Cuban regarding HO-10576, attached to SEC-MC0300320	WP	
86	SEC-MC0300811	SEC-MC0300811	5/21/2007	Kaplan, Robert	Friestad, Scott				Email regarding planned Wells call to Mark Cuban in HO-10576	WP	
87	SEC-MC0300815	SEC-MC0300815	5/21/2007	Rewe, Julie M.	Kaplan, Robert				Forwarding email of December 7, 2006 with evidence of possible violation of securities laws and counsel's initial investigation in HO-10576	WP	
88	SEC-MC0300816	SEC-MC0300816	5/21/2007	Friestad, Scott	Kaplan, Robert				Email discussion among counsel about planned Wells call with Mark Cuban in HO-10576	WP	
89	SEC-MC0300314	SEC-MC0300314	5/22/2007	Rewe, Julie M.	Kaplan, Robert				Email transmitting Wells outline for call with M. Cuban regarding HO-10576	WP	
90	SEC-MC0300315	SEC-MC0300316	5/22/2007	Rewe, Julie M.	Kaplan, Robert				Draft Wells outline for call with M. Cuban in HO-10576, attached to SEC-MC0300314	WP	
91	SEC-MC0301119	SEC-MC0301122	5/22/2007	Rewe, Julie M.	O'Rourke, Kevin				May 23, 2007 outline for Wells call to Mark Cuban attached to SEC-MC0301118	WP	
92	SEC-MC0301786	SEC-MC0301786	5/22/2007	Chaudoin, Daniel T.	Rewe, Julie M.				Email transmitting draft outline for Wells call to Cuban in HO-10576 and discussing thoughts and strategy of counsel	WP	
93	SEC-MC0300311	SEC-MC0300311	5/23/2007	Kaplan, Robert; Chaudoin, Daniel T.	Kaplan, Robert; Chaudoin, Daniel T.				Email transmitting Wells outline for call with M. Cuban regarding HO-10576	WP	
94	SEC-MC0300312	SEC-MC0300313	5/23/2007	Kaplan, Robert; Chaudoin, Daniel T.	Kaplan, Robert; Chaudoin, Daniel T.				Wells outline for call with M. Cuban regarding HO-10576, dated May 23, 2007, attached to SEC-MC0300311	WP	
95	SEC-MC0301508	SEC-MC0301508	5/23/2007	Bresnan, Peter	Friestad, Scott	Thomsen, Linda			Email string transmitting decision on planned Wells call to Mark Cuban in HO-10576 and preparation therefore	WP, DP	
96	SEC-MC0302443	SEC-MC0302443	5/23/2007	Bresnan, Peter	Thomsen, Linda	Friestad, Scott			Email string forwarding email with outline for Wells call to M. Cuban in HO-10576 with background information provided by Friestad	WP	
97	SEC-MC0302444	SEC-MC0302447	5/23/2007	Bresnan, Peter	Thomsen, Linda	Friestad, Scott			Draft outline for HO-10576 Wells call to Mark Cuban regarding HO-10576, attached to SEC-MC0302443	WP, DP	
98	SEC-MC0302578	SEC-MC0302578	5/23/2007	Bresnan, Peter	Friestad, Scott	Thomsen, Linda			Email string responding to outline for proposed Wells call with M. Cuban in HO-10576	WP, DP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	BESPROD.	ENGPORD.	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
99	SEC-MC0300867	SEC-MC0300867	6/1/2007	Friestad, Scott	Riewe, Julie M.; Kaplan, Robert; Chaudoin, Daniel T.				Email discussing anticipated Wells submission and questions raised by counsel for Mark Cuban in HO-1576	WP	
100	SEC-MC0300824	SEC-MC0300824	6/1/2007	Kaplan, Robert	Riewe, Julie M.; Chaudoin, Daniel T.				Redaction of counsel's thoughts and impressions of Wells submission made on behalf of Mark Cuban in HO-10576	WP	Yes
101	SEC-MC0301779	SEC-MC0301780	6/5/2007	Riewe, Julie M.	Chaudoin, Daniel T.			Friestad, S.W.; Kaplan, R.B.	Email string among counsel discussing anticipated Wells submission in HO-10576	WP	
102	SEC-MC0300938	SEC-MC0300938	6/29/2007	Riewe, Julie M.	Chaudoin, Daniel T.				Email from investigative counsel discussing evidence adduced from records in HO-10576	WP	
103	SEC-MC0300865	SEC-MC0300866	7/10/2007	Riewe, Julie M.	Kaplan, Robert				Email replying with question to analysis of certain facts and legal issues raised in HO-10576	WP, AC	
104	SEC-MC0300423	SEC-MC0300423	7/12/2007	Riewe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.				Email attaching draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban	WP	
105	SEC-MC0301147	SEC-MC0301147	7/12/2007	Riewe, J.M.	Mejia, Lou	O'Rourke, Kevin			Email forwarding draft formal order memorandum, and outlines for Mark Cuban's Wells call of May 23, 2007 for evaluation	WP, AC, DP	
106	SEC-MC0302556	SEC-MC0302560	7/13/2007	Uhlmann, Peter	Loesch, Michael			Stachnik, Walter	Email forwarding email exchange between SEC employee and Mark Cuban for consideration by senior agency officials with attached records, includes discussion of disciplinary action against employee	WP, PA, DP	
107	SEC-MC0302557	SEC-MC0302560	7/13/2007	Uhlmann, Peter	Loesch, Michael			Uhlmann, Peter; Loesch, Michael; Stachnik, Walter	Email exchange between SEC personnel discussing discourse with M. Cuban, includes discussion of disciplinary action against employee, attached to SEC-MC0302556	WP, PA, DP	
108	SEC-MC0300406	SEC-MC0300406	7/16/2007	Kaplan, Robert	Riewe, Julie M.				Email attaching draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban	WP	
109	SEC-MC0300407	SEC-MC0300411	7/16/2007	Friestad, S.W.; Kaplan, R.B.; Riewe, J.M.	File				Draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban, attached to SEC-MC0300399	WP	
110	SEC-MC0300418	SEC-MC0300422	7/16/2007	Friestad, S.W.; Kaplan, R.B.; Riewe, J.M.	File				Draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban	WP	
111	SEC-MC0301118	SEC-MC0301118	7/16/2007	Riewe, Julie M.	O'Rourke, Kevin				Email transmitting May 23, 2007 outline for Wells call to Mark Cuban for use by counsel in preparing case for trial	WP	
112	SEC-MC0301123	SEC-MC0301123	7/16/2007	Riewe, Julie M.	O'Rourke, Kevin				Email transmitting copy of table listing Wells arguments and counsel's responses thereto to assist counsel in preparing for trial	WP	
113	SEC-MC0301629	SEC-MC0301633	7/16/2007	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.					Draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban	WP	
114	SEC-MC0301634	SEC-MC0301638	7/16/2007	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.					Draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban	WP	
115	SEC-MC0301838	SEC-MC0301838	7/16/2007	Riewe, Julie M.	Chaudoin, Daniel T.				Email among investigative counsel discussing testimony in response to question posed by trial counsel assigned to HO-10576	WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	BSGPROD	EXP/PROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
116	SEC-MC0300399	SEC-MC0300399	7/17/2007	Kaplan, Robert	Friestad, Scott				Email attaching draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban.	WP	
117	SEC-MC0300400	SEC-MC0300405	7/17/2007	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.	Thomsen, L.C.				Draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban attached to SEC-MC0300399.	WP	
118	SEC-MC0300397	SEC-MC0300857	7/17/2007	Riewe, Julie M.	Kaplan, Robert				Email reporting counsel's review of documents produced in HO-10576.	WP	
119	SEC-MC0301084	SEC-MC0301089	7/17/2007	Kaplan, Robert	Friestad, Scott				Draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban.	WP	
120	SEC-MC0301482	SEC-MC0301482	7/17/2007	Friestad, Scott	Kaplan, Robert				Email discussing issues and testimony in HO-10576 investigation.	WP	
121	SEC-MC0300412	SEC-MC0300412	7/18/2007	Riewe, Julie M.	Friestad, Scott; Chaudoin, Daniel T.; O'Rourke, Kevin	Kaplan, Robert			Email transmitting July 18, 2007 version of report to Linda Thomsen on Wells meeting with counsel for Mark Cuban on May 23, 2007.	WP	
122	SEC-MC0300413	SEC-MC0300417	7/18/2007	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.	File				Revised draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban, attached to SEC-MC0300406.	WP	
123	SEC-MC0300823	SEC-MC0300823	7/18/2007	Kaplan, Robert	Chaudoin, Daniel T.			Riewe, Julie M.; O'Rourke, Kevin; Friestad, Scott	Email discussion among counsel discussing evidence in preparation for Wells meeting with counsel for Mark Cuban in HO-10576.	WP	
124	SEC-MC0300825	SEC-MC0300826	7/18/2007	Friestad, Scott	Kaplan, Robert; O'Rourke, Kevin; Chaudoin, Daniel T.	Riewe, Julie M.			Email string containing Friestad's proposed changes to memorandum summarizing evidence and legal issues prepared for Linda Thomsen in response to Wells submission in HO-10576.	WP	
125	SEC-MC0300829	SEC-MC0300829	7/18/2007	Riewe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.			Friestad, Scott	Email string discussing evidence and issues in anticipation of meeting with counsel for Mark Cuban in HO-10576.	WP	
126	SEC-MC0301090	SEC-MC0301090	7/18/2007	Riewe, Julie M.	Friestad, Scott			O'Rourke, Kevin; Chaudoin, D.T.	Email attaching draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban.	WP	
127	SEC-MC0301091	SEC-MC0301095	7/18/2007	Riewe, Julie M.	Friestad, S.W.; O'Rourke, K.P.; Chaudoin, D.T.; Thomsen, L.C.				Final version of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban.	WP	
128	SEC-MC0301286	SEC-MC0301287	7/18/2007	Riewe, Julie M.	O'Rourke, Kevin; Kaplan, Robert; Chaudoin, Daniel; Friestad, Scott				Email attaching draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban.	WP	
129	SEC-MC0301484	SEC-MC0301484	7/18/2007	Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.	O'Rourke, Kevin			Kaplan, Robert; Friestad, Scott; Chaudoin, Daniel	Email string discussing planned meeting with counsel for Mark Cuban on July 19 in HO-10576.	WP	
130	SEC-MC0301688	SEC-MC0301692	7/18/2007	Riewe, J.M.	Thomsen, L.C.				Memorandum summarizing Wells submission and counsel's response to the evidence and arguments set out in that submission in HO-10576.	WP	
131	SEC-MC0301777	SEC-MC0301777	7/18/2007	Kaplan, Robert	Chaudoin, Daniel T.			Friestad, S.W.; Riewe, J.M.; O'Rourke, K.P.	Email string discussion among counsel reviewing record in HO-10576.	WP	
132	SEC-MC0301778	SEC-MC0301778	7/18/2007	Riewe, Julie M.	Chaudoin, Daniel T.			Friestad, S.W.; Kaplan, R.B.; O'Rourke, K.P.	Email string discussion among counsel reviewing record in HO-10576.	WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	SEC-PROD.	END-PROD.	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
133	SEC-MC0300822	SEC-MC0300822	7/23/2007	Kaplan, Robert	Rewe, Julie M.			O'Rourke, K.P.	Email string regarding scheduling testimony from potential witnesses in HO-10576	WP	
134	SEC-MC0300828	SEC-MC0300828	7/23/2007	Rewe, Julie M.	Kaplan, Robert			O'Rourke, Kevin	Email discussion of potential witnesses in HO-10576	WP	
136	SEC-MC0300827	SEC-MC0300827	7/24/2007	O'Rourke, Kevin	Kaplan, Robert; Rewe, Julie M.				Email string discussing planned interview of Robert Raich in HO-10576	WP	
137	SEC-MC0300391	SEC-MC0300398	7/25/2007	Kaplan, R.B.	Friestad, S.W.				Quarterly Status Report on ongoing investigations under supervision of R.B. Kaplan, including HO-10576, attached to SEC-MC0300390	WP	Yes
138	SEC-MC0301075	SEC-MC0301082	7/25/2007	Kaplan, R.B.	Friestad, S.W.				Quarterly Status Report on ongoing investigations under supervision of R.B. Kaplan, including HO-10576, attached to SEC-MC0301074	WP	
139	SEC-MC0301101	SEC-MC0301117	7/25/2007	Rewe, Julie M.	O'Rourke, Kevin				Initial draft action memorandum seeking authorization to bring civil action against Mark Cuban and setting out counsel's thoughts and opinions on evidence and law	WP, AC, DP	
140	SEC-MC0300390	SEC-MC0300390	7/26/2007	Kaplan, Robert	Friestad, Scott; Pare, Candice				Email transmitting summary of ongoing investigations for July 2007, (SEC-MC0300391 - 398)	WP	
141	SEC-MC0301074	SEC-MC0301074	7/26/2007	Kaplan, Robert	Friestad, Scott; Pare, Candice				Email transmitting memorandum addressing legal and factual issues in ongoing investigations for month of July 2007 including HO-10576	WP	
142	SEC-MC0301100	SEC-MC0301100	7/26/2007	Rewe, Julie M.	O'Rourke, Kevin				Email transmitting initial draft action memorandum seeking authorization to bring civil action against Mark Cuban and setting out counsel's thoughts and opinions on evidence and law	WP, AC, DP	
143	SEC-MC0301066	SEC-MC0301073	7/26/2007	Friestad, Scott	Calande, Pauline E.				Redaction of internal report on HO-10576 investigation. Reports on other investigations redacted as nonresponsive & privileged	WP, DP	Yes
144	SEC-MC0300939	SEC-MC0300939	7/27/2007	Kaplan, Robert	Rewe, Julie M.				Email confirming schedule interview of Robert Raich and proposed preparation therefore in HO-10576	WP	
145	SEC-MC0302623	SEC-MC0302623	7/27/2007	Supervisor	Supervisor				Email discussion of ongoing agency response to actions of employee not involved in HO-10576 investigation, includes disciplinary action discussion against employee	WP, PA	
146	SEC-MC0300475	SEC-MC0300475	7/30/2007	Rewe, Julie M.	Kaplan, Robert ; O'Rourke, Kevin				Email transmitting draft outline in preparation for interview of Charles McKinney	WP	
147	SEC-MC0300480	SEC-MC0300484	7/30/2007	Rewe, J.M.	Kaplan, R.B.; O'Rourke, K.P.				Draft outline prepared by counsel in preparation for interview of Charles McKinney on July 31, 2007 attached to SEC-MC0300475	WP	
148	SEC-MC0300870	SEC-MC0300870	7/31/2007	O'Rourke, Kevin	Rewe, Julie M.; Kaplan, Robert				Email string among case counsel discussing preparation for witness interviews in HO-1576 and attaching draft outlines for those interviews	WP	
149	SEC-MC0300879	SEC-MC0300879	7/31/2007	Kaplan, Robert	Turner, Alton O.	Zelinsky, Yuri; Unger, Michael A.			Email responding to receipt of transcripts from HO-09900 investigation	WP	
150	SEC-MC0301478	SEC-MC0301478	7/31/2007	O'Rourke, Kevin	Rewe, Julie M.; Kaplan, Robert				Email string discussing and forwarding the interview outlines for R. Raich and C. McKinney in HO-10576	WP	
151	SEC-MC0300455	SEC-MC0300455	8/1/2007	Rewe, Julie M.	Kaplan, Robert				Email transmitting draft Action Memorandum for HO-10576 for review by Kaplan	WP, AC, DP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	REGPROD.	EXPROJ	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
152	SEC-MC0300456	SEC-MC0300474	8/7/2007	Riwe, J.M.	File				August 1, 2007 draft of action memorandum presenting material facts, discussing legal issues and seeking authorization to file civil action in HO-10576 attached to SEC-MC0300455	WP, AC, DP	
153	SEC-MC0301285	SEC-MC0301285	8/7/2007	O'Rourke, Kevin	Riwe, Julie M.				Email string forwarding and discussing transcript of testimony of Robert Raich, taken April 11, 2005 in HO-09900	WP	
154	SEC-MC0300944	SEC-MC0300944	8/2/2007	Riwe, Julie M.	Kaplan, Robert				Email discussing timing of obtaining testimony of witness and seeking authorization to file civil action in HO-10576	WP	
157	SEC-MC0300451	SEC-MC0300451	8/7/2007	Riwe, Julie M.	Kaplan, Robert				Email transmitting draft memorandum containing counsel's thoughts and opinions of interview of Charles McKinney	WP	
158	SEC-MC0300452	SEC-MC0300454	8/7/2007	Riwe, J.M.; Kaplan, R.B.	File				Draft memorandum containing counsel's thoughts and impressions of August 7, 2007 interview of Charles McKinney, attached to SEC-MC0300451	WP	
160	SEC-MC0301096	SEC-MC0301096	8/8/2007	Riwe, Julie M.	O'Rourke, Kevin				Email transmitting summary of interview of Charles McKinney	WP	
161	SEC-MC0301097	SEC-MC0301099	8/8/2007	Riwe, Julie M.	O'Rourke, Kevin				Counsel's summary of interview of Charles McKinney containing counsel's thoughts and opinions attached to SEC-MC0301096	WP	
162	SEC-MC0301274	SEC-MC0301274	8/14/2007	O'Rourke, Kevin	Riwe, Julie M.			O'Rourke, Kevin;	Email string forwarding August 31, 2005 testimony transcript of David Goldman in HO-10576	WP	
163	SEC-MC0301275	SEC-MC0301279	8/16/2007	O'Rourke, Kevin	Riwe, Julie M.			Gustman, David; Storck, Michael; Riwe, Julie; O'Rourke, Kevin	Email string forwarding and discussing email exchange with witness's counsel regarding scheduling the interview of David Goldman in HO-10576	WP	
164	SEC-MC0300425	SEC-MC0300443	8/24/2007	Riwe, J.M.	Kaplan, Robert				August 24, 2007 draft of action memorandum presenting material facts, discussing legal issues and seeking authorization to file civil action in HO-10576 attached to SEC-MC0300424	WP, AC, DP	
165	SEC-MC0300444	SEC-MC0300450	8/24/2007	Riwe, J.M.	Kaplan, R.B.; O'Rourke, K.P.				Counsel's August 24, 2007 draft outline for taking testimony of Guy Faure	WP	
166	SEC-MC0300943	SEC-MC0300943	8/24/2007	Riwe, Julie M.	Kaplan, Robert; O'Rourke, Kevin				Email among investigative and trial counsel on scheduling voluntary testimony of Guy Faure in HO-10576	WP	
167	SEC-MC0301872	SEC-MC0301872	8/24/2007	Chaudoin, Daniel T.	Riwe, Julie M.				Email discussion between investigative counsel discussing obtaining testimony in HO-10576 among other non-responsive matters	WP	
168	SEC-MC0300424	SEC-MC0300424	8/28/2007	Riwe, Julie M.	Kaplan, Robert				Email transmitting August 24, 2007 draft action memorandum for HO-10576	WP, AC, DP	
172	SEC-MC0300942	SEC-MC0300942	9/4/2007	Riwe, Julie M.	Kaplan, Robert; O'Rourke, Kevin				Email among investigative and litigation counsel on scheduling voluntary testimony of Guy Faure in HO-10576	WP	
173	SEC-MC0301042	SEC-MC0301042	9/5/2007	Riwe, Julie M.	O'Rourke, Kevin				Forwarding outlines for witness interviews in Montreal scheduled for September 10 and 11 with comments of counsel	WP	
174	SEC-MC0301043	SEC-MC0301046	9/5/2007	Riwe, Julie M.	O'Rourke, Kevin				Outline for September 11 interview of Irwin Kramer in HO-10576 attached to SEC-MC0301042	WP	
175	SEC-MC0301047	SEC-MC0301049	9/5/2007	Riwe, Julie M.	O'Rourke, Kevin				Outline for September 10 interview of Daniel Berrand in HO-10576 attached to SEC-MC0301042	WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-18-2010 Production - Electronic Document WP Privilege Log

Index Number	BEGPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
176	SEC-MC0301050	SEC-MC0301052	9/5/2007	Riewe, Julie M.	O'Rourke, Kevin				Outline for September 10 interview of David Goldman in HO-10576 attached to SEC-MC0301042	WP	
177	SEC-MC0300657	SEC-MC0300657	9/6/2007	Zelinsky, Yuri	Chion, Antonia				Email discussion of wrapping up investigation in HO-09900	WP	
178	SEC-MC0300940	SEC-MC0300940	9/6/2007	O'Rourke, Kevin	Riewe, Julie M.; Kaplan, Robert	Chaudoin, Daniel T.			Email string among investigative and litigation counsel on scheduling voluntary testimony of Guy Faure in HO-10576	WP	
179	SEC-MC0301914	SEC-MC0301914	9/6/2007	Chion, Antonia	Chion, Antonia; Zelinsky, Y.				Email string forwarding telephone message from Richard Greenberg and asking about any additional work before closing investigation in HO-09900	WP	
180	SEC-MC0301915	SEC-MC0301915	9/6/2007	Zelinsky, Yuri	Turner, Alton O.				Email requesting information in preparation for closing HO-09900 investigation	WP	
181	SEC-MC0301063	SEC-MC0301063	9/7/2007	Riewe, Julie M.	O'Rourke, Kevin				Forwarding revised outlines for witness interviews in HO-10576 scheduled for September 10 and 11 with comments of counsel	WP	
182	SEC-MC0301054	SEC-MC0301057	9/7/2007	Riewe, Julie M.	O'Rourke, Kevin				Revised outline for September 11 interview of Irwin Kramer in HO-10576 attached to SEC-MC0301053	WP	
183	SEC-MC0301088	SEC-MC0301080	9/7/2007	Riewe, Julie M.	O'Rourke, Kevin				Revised outline for September 10 interview of Daniel Bertrand in HO-10576, attached to SEC-MC0301053	WP	
184	SEC-MC0301081	SEC-MC0301084	9/7/2007	Riewe, Julie M.	O'Rourke, Kevin				Revised outline for September 10 interview of David Goldman in HO-10576, attached to SEC-MC0301053	WP	
185	SEC-MC0300954	SEC-MC0300954	9/10/2007	Jones, Olivette	Kaplan, Robert; O'Rourke, Kevin; Riewe, Julie M.	Arevalo, Alberto; Olson, Marianne			Email requesting information required for travel to Canada, containing discussion of HO-10576 case and purpose of travel	WP	
186	SEC-MC0301477	SEC-MC0301477	9/10/2007	Riewe, Julie M.	O'Rourke, Kevin				Email string forwarding revised interview outlines for Kramer, Bertrand, and Goldman for use in HO-10576 with discussion of counsel	WP	
187	SEC-MC0300868	SEC-MC0300869	9/14/2007	O'Rourke, Kevin	Kaplan, Robert; Riewe, Julie M.				Email setting out counsel's thoughts and impressions of questions for witnesses in HO-1576	WP	
188	SEC-MC0301481	SEC-MC0301481	9/14/2007	O'Rourke, Kevin	Kaplan, Robert; Riewe, Julie M.				Email discussing substantive legal analysis and discovery in HO-10576 investigation	WP	
189	SEC-MC0301802	SEC-MC0301803	9/14/2007	O'Rourke, K.P.	Riewe, Julie M.; Kaplan, R.B.	Chaudoin, Daniel T.			Email string among counsel in HO-10576 discussing evidence and testimony and transmitting views L. Media on further investigative actions	WP	
190	SEC-MC0300279	SEC-MC0300279	9/17/2007	Riewe, Julie M.	Chaudoin, Daniel T.; O'Rourke, Kevin				Email transmitting revised outline for taking testimony of Guy Faure in HO-10576	WP	
191	SEC-MC0300280	SEC-MC0300289	9/17/2007	Riewe, Julie M.					Draft outline for taking testimony of Guy Faure in HO-10576, attached to SEC-MC0300279	WP	
192	SEC-MC0300799	SEC-MC0300800	9/17/2007	Kaplan, Robert	Riewe, Julie M.	O'Rourke, Kevin			Email string among case counsel discussing evidence obtained and possible additional discovery	WP	
193	SEC-MC0300808	SEC-MC0300810	9/17/2007	Riewe, Julie M.	Kaplan, Robert	O'Rourke, Kevin			Email string discussing evidence in HO-10576	WP	
194	SEC-MC0300141	SEC-MC0300141	9/19/2007	Zelinsky, Yuri	Chion, Antonia	Turner, Alton O.			Email requesting decision on closing of HO-09900 investigation	WP, DP	
195	SEC-MC0300142	SEC-MC0300142	9/19/2007	Zelinsky, Yuri	Chion, Antonia	Turner, Alton O.			Draft letter from Y. Zelinsky to R. Greenberg regarding the HO-09900, attached to SEC-MC0300141	WP	
196	SEC-MC0300807	SEC-MC0300807	9/20/2007	Flested, Scott	Kaplan, Robert				Email discussing proposed communication with counsel for Mark Cuban	WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Process, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	BESPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
197	SEC-MC0300953	SEC-MC0300953	9/20/2007	Friedstad, Scott	Kaplan, Robert				Email exchange between Friedstad and Kaplan about next steps in investigation.	WP	
198	SEC-MC0301721	SEC-MC0301730	9/21/2007	Rewie, Julie M.	Chaudoin, Daniel T.				September 21, 2007 draft outline for taking voluntary testimony of Guy Faure in HO-10576	WP	
199	SEC-MC0300268	SEC-MC0300268	9/25/2007	Rewie, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.; O'Rourke, Kevin				Email transmitting draft outline for taking testimony of Guy Faure in HO-10576.	WP	
200	SEC-MC0300269	SEC-MC0300278	9/25/2007	Rewie, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.; O'Rourke, Kevin				Draft outline for taking testimony of Guy Faure in HO-10576, attached to SEC-MC0300268.	WP	
201	SEC-MC0300656	SEC-MC0300656	9/26/2007	Zelinsky, Yuri		Chion, Antonia			Email string transmitting inquiry from reporter about HO-0990 investigation, describing investigation, and requesting assistance in responding.	WP, DP	
202	SEC-MC0301710	SEC-MC0301710	9/26/2007	Rewie, Julie M.	Chaudoin, Daniel T.				Email transmitting revised outline for taking voluntary testimony of Guy Faure in HO-10576	WP	
203	SEC-MC0301711	SEC-MC0301720	9/26/2007	Rewie, Julie M.	Chaudoin, Daniel T.				September 26, 2007 draft outline for taking testimony of Guy Faure in HO-10576	WP	
204	SEC-MC0300251 (duplicate at SEC-MC0300267)	SEC-MC0300267	10/3/2007	Rewie, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.				Email string discussing edits to Action Memorandum in HO-10576 and forwarding draft Action Memorandum.	WP	
205	SEC-MC0300252	SEC-MC0300266	10/3/2007	Rewie, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.				Draft Action Memorandum in HO-10576 discussing evidence and law in support of recommendation, dated October 3, 2007, attached to SEC-MC0300251.	WP, AC, DP	
206	SEC-MC0301694	SEC-MC0301709	10/3/2007	Chaudoin, D.T.	Rewie, J.M.				Draft Action Memorandum in HO-10576 with counsel's redlined suggestions reflecting his thoughts and impressions about the legal and evidentiary discussions.	WP, AC, DP	
207	SEC-MC0301789	SEC-MC0301793	10/3/2007	Chaudoin, Daniel T.	Rewie, Julie M.				Redacted investigative counsel's note on investigation in HO-10576	WP	Yes
208	SEC-MC0300801	SEC-MC0300801	10/4/2007	Kaplan, Robert	Rewie, Julie M.		Chaudoin, Daniel		Email string forwarding draft action memorandum for HO-10576 with Rewie comments on case law	WP, AC, DP	
209	SEC-MC0301693	SEC-MC0301693	10/4/2007	Chaudoin, Daniel T.	Rewie, Julie M.				Email attaching draft of case counsel's analysis of Mark Cuban's first Wells submission in preparation for meeting with counsel for Mark Cuban	WP	
210	SEC-MC0301796	SEC-MC0301796	10/4/2007	Rewie, Julie M.	Chaudoin, Daniel T.				Email among investigative counsel in HO-10576 discussing facts to be included in Action Memorandum	WP, DP	
211	SEC-MC0300880	SEC-MC0300880	10/9/2007	Kaplan, Robert	Rewie, Julie M.		Chaudoin, D.T.		Email discussion among counsel re: obtaining testimony in HO-10576	WP	
212	SEC-MC0300952	SEC-MC0300952	10/9/2007	Chaudoin, Daniel T.	Kaplan, Robert				Email string among counsel discussing next steps in completing investigation in HO-10576	WP	
213	SEC-MC0300951	SEC-MC0300951	10/10/2007	Rewie, Julie M.	Kaplan, Robert				Email string among counsel discussing next steps in completing investigation in HO-10576	WP	
214	SEC-MC0301874	SEC-MC0301874	10/10/2007	Rewie, Julie M.	Chaudoin, Daniel T.				Forwarding email discussion with R.B. Kaplan about getting comments on draft Action Memorandum and timing of meeting with Commission	WP	
215	SEC-MC0300802	SEC-MC0300802	10/11/2007	Rewie, Julie M.	Kaplan, Robert			Kaplan, R.B.	Email discussing revisions to draft action memorandum for HO-10576 to address issues raised by counsel for Mark Cuban	WP, DP, AC	
216	SEC-MC0301787	SEC-MC0301787	10/11/2007	Chaudoin, Daniel T.	Rewie, Julie M.				Email discussing preparation and content of Action Memorandum in HO-10576 in anticipation of meeting with Commission	WP, DP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	BEGPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
217	SEC-MC0301788	SEC-MC0301788	10/11/2007	Chaudoin, Daniel T.	Rewe, Julie M.				Emails discussing preparation and content of draft Action Memorandum in HO-10576 in anticipation of meeting with Commission	WP, DP	
218	SEC-MC0301795	SEC-MC0301795	10/11/2007	Rewe, Julie M.	Chaudoin, Daniel T.				Email discussion among investigative counsel in HO-10576 discussing preparation for Commission meeting	WP, DP	
219	SEC-MC0300221	SEC-MC0300221	10/12/2007	Rewe, Julie M.	Kaplan, Robert			Kaplan, Robert; Rewe, Julie	Email forwarding revised draft Action Memorandum for HO-10576, discussing adfs.	WP, DP	
220	SEC-MC0300222	SEC-MC0300222	10/12/2007	Rewe, Julie M.	Kaplan, Robert				Draft Action Memorandum in HO-10576 discussing law and evidence in support of recommendation, dated October 12, 2007 attached to SEC-MC0300221.	WP, AC, DP	
221	SEC-MC0300144	SEC-MC0300158	10/15/2007	Kaplan, Robert	Rewe, Julie M.			Kaplan, Robert; Rewe, Julie	Memorandum for HO-10576 discussing law and evidence in support of recommendation attached to SEC-MC0300143.	WP, AC, DP	
222	SEC-MC0300206	SEC-MC0300206	10/15/2007	Rewe, Julie M.	Kaplan, Robert			Kaplan, Robert; Rewe, Julie	Email forwarding revised draft Action Memorandum for HO-10576.	WP	
223	SEC-MC0300207	SEC-MC0300220	10/15/2007	Rewe, Julie M.	Kaplan, Robert				Draft Action Memorandum in HO-10576 discussing law and evidence in support of recommendation, dated October 15, 2007, attached to SEC-MC0300191.	WP, AC, DP	
224	SEC-MC0301207	SEC-MC0301221	10/15/2007	Rewe, J.M.; Kaplan, R.B.; Chaudoin,	Friedstad, S.W.			Kaplan, Robert; Rewe, Julie	Draft Action Memorandum discussing law and evidence for purpose of seeking authorization to file civil action in HO-10576 attached to SEC-MC0301206.	WP, AC, DP	
225	SEC-MC0300191	SEC-MC0300191	10/16/2007	Rewe, Julie M.	Kaplan, Robert				Email forwarding draft Action Memorandum for HO-10576.	WP	
226	SEC-MC0300192	SEC-MC0300205	10/16/2007	Rewe, Julie M.	Kaplan, Robert			Kaplan, Robert; Rewe, Julie	Draft Action Memorandum in HO-10576 discussing law and evidence in support of recommendation, dated October 15, 2007, attached to SEC-MC0300191.	WP, AC, DP	
227	SEC-MC0300973	SEC-MC0300973	10/18/2007	Friedstad, S.W.	Kaplan, R.B.				Forwarding email from Friedstad to Korolash referring to defense counsel's letter and issues raised therein.	WP, DP	
228	SEC-MC0301188	SEC-MC0301196	10/18/2007	Friedstad, S.W.	Thomsen, Linda; Bresnan, Peter; Ricciardi, Walter				Quarterly report for investigations supervised by Robert Kaplan including HO-10576 attached to SEC-MC0301187.	WP, DP	
229	SEC-MC0300169	SEC-MC0300169	10/19/2007	Kaplan, Robert	Rewe, Julie M.	Calande, Pauline E.		Kaplan, Robert; Rewe, Julie	Email forwarding draft Action Memorandum for HO-10576.	WP	
230	SEC-MC0300160	SEC-MC0300174	10/19/2007	Kaplan, Robert	Rewe, Julie M.			Kaplan, Robert; Rewe, Julie	Draft Action Memorandum in HO-10576, dated October 15, 2007, discussing law and evidence in support of recommendation, attached to SEC-MC0300159.	WP, AC, DP	
231	SEC-MC0300175	SEC-MC0300175	10/19/2007	Kaplan, Robert	Friedstad, Scott			Kaplan, Robert	Email forwarding draft Action Memorandum regarding HO-10576.	WP	
232	SEC-MC0300176	SEC-MC0300190	10/19/2007	Kaplan, Robert	Friedstad, Scott			Friedstad, Scott; Kaplan, Robert	Draft Action Memorandum in HO-10576, dated October 15, 2007, discussing law and evidence in support of recommendation.	WP, AC, DP	
233	SEC-MC0301187	SEC-MC0301187	10/19/2007	Friedstad, Scott	Thomsen, Linda; Bresnan, Peter; Ricciardi, Walter	Calande, Pauline E.			Email transmitting quarterly reports on ongoing investigations including HO-10576 and summary report on priority matters to senior enforcement officers and their counsel.	WP	
234	SEC-MC0301197	SEC-MC0301205	10/19/2007	Friedstad, S.W.	Thomsen, Linda; Bresnan, Peter; Ricciardi, Walter	Calande, Pauline E.			Report on priority investigations, including HO-10576, prepared for consideration by senior enforcement officers.	WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Entry Number	BEOPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
235	SEC-MC0301206	SEC-MC0301206	10/19/2007	Kaplan, Robert	Friestad, Scott				Email attaching most recent draft of Action Memorandum discussing law and evidence for purpose of seeking authorization to file civil action in HO-10576	WP	
236	SEC-MC0302434	SEC-MC0302442	10/19/2007	Friestad, Scott	Thomsen, Linda; Bresnan, Peter; Ricciardi, Walter	Calande, Pauline			October 19, 2007 memorandum summarizing ongoing enforcement investigations, including HO-10576, attached to SEC-MC0302433	WP, DP	
237	SEC-MC0300143	SEC-MC0300143	10/30/2007	Kaplan, Robert	Rewe, Julie M.			Kaplan, Robert; Rewe, Julie	Email forwarding draft Action Memorandum for HO-10576	WP	
238	SEC-MC0301447	SEC-MC0301447	10/31/2007	O'Rourke, Kevin	O'Rourke, Kevin				Email note containing trial counsel's thoughts and impressions of issues that should be brought to the attention of the Commission in determining whether to authorize filing a civil action against Mark Cuban	WP, AC, DP	
239	SEC-MC0300949	SEC-MC0300949	11/1/2007	O'Rourke, Kevin	Kaplan, Robert; Rewe, Julie M.				Email transmitting additional legal discussion to be included in Action Memorandum for HO-10576	WP	
240	SEC-MC0301446	SEC-MC0301446	11/1/2007	O'Rourke, Kevin	Mella, Lou				Email forwarding proposed insert for Action Memorandum in HO-10576 discussing issues for the Commission to consider in determining whether to authorize filing a civil action against Mark Cuban	WP, AC, DP	
241	SEC-MC0300590	SEC-MC0300603	11/2/2007	Rewe, J.M.	Kaplan, R.				November 2, 2007 draft Action Memorandum for HO-09900 investigating, presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576 attached to SEC-MC0300589	WP, DP	
242	SEC-MC0300589	SEC-MC0300589	11/2/2007	Rewe, Julie M.	Kaplan, Robert				Email transmitting revised Action Memorandum incorporating Scott Friestad's comments	WP	
243	SEC-MC0300485	SEC-MC0300499	11/13/2007	Kaplan, R.B.	Kaplan, R.B.; O'Rourke, K.P.; Rewe, J.M.				November 13, 2007 draft of Action Memorandum sent to Scott Friestad, presenting material facts, discussing legal issues and seeking authorization to file civil action in HO-10576	WP, AC, DP	
244	SEC-MC0300501	SEC-MC0300515	11/13/2007	Rewe, J.M.	Kaplan, R.B.; O'Rourke, K.P.; Friestad, S.W.; Chaudoin, D.T.	Friestad, Scott			November 13, 2007 draft of Action Memorandum presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576, attached to SEC-MC0300500	WP, AC, DP	
245	SEC-MC0301673	SEC-MC0301687	11/13/2007	Chaudoin, D.T.	Rewe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.				Draft Action Memorandum in HO-10576 requesting authorization to file civil action containing counsel's evaluation of the facts and law	WP, AC, DP	
246	SEC-MC0300500	SEC-MC0300500	11/16/2007	Kaplan, Robert	Friestad, Scott				Email transmitting current draft of Action Memorandum for HO-10576	WP	
247	SEC-MC0301672	SEC-MC0301672	11/20/2007	Kaplan, R.B.	Rewe, J.M.; O'Rourke, K.P.	Chaudoin, Daniel T.			Email string transmitting current draft of Action Memorandum	WP	
248	SEC-MC0300516	SEC-MC0300528	11/21/2007	Rewe, J.M.	Kaplan, R.B.				November 21, 2007 draft of Action Memorandum presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576	WP, AC, DP	
249	SEC-MC0300570	SEC-MC0300570	11/21/2007	Rewe, Julie M.	Kaplan, Robert				Email transmitting draft Action Memorandum for HO-10576	WP	
250	SEC-MC0300571	SEC-MC0300583	11/21/2007	Rewe, Julie M.	Kaplan, Robert				November 21, 2007 draft of Action Memorandum presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576, attached to SEC-MC0300570	WP, AC, DP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-18-2010 Production - Electronic Document WP Privilege Log

Index Number	SEGRCD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
251	SEC-MC0301658	SEC-MC0301658	11/21/2007	Riwe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.; Frestad, S.W.	Chaudoin, Daniel T.			Kaplan, R.B.	Email transmitting revised Action Memorandum in HO-10576 forwarded to R.B. Kaplan with comments	WP	
252	SEC-MC0301659	SEC-MC0301671	11/21/2007	Riwe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.; Frestad, S.W.	Chaudoin, Daniel T.; Kaplan, R.B.				Draft Action Memorandum in HO-10576 containing counsel's evaluation of the facts and law and discussing changes in draft, attached to SEC-MC0301658	WP, AC, DP	
253	SEC-MC0300063	SEC-MC0300075	11/26/2007	Riwe, Julie M.; Chaudoin, D.T.; O'Rourke, K.P.	Pisto, Lawrence W.				November 26, 2007 draft Action Memorandum for HO-10576, attached to SEC-MC0300062	WP, AC, DP	
254	SEC-MC0300062	SEC-MC0300062	11/26/2007	Riwe, Julie M.	Pisto, Lawrence W.	Kaplan, Robert; Chaudoin, Daniel T.			Email forwarding draft Action Memorandum and associated materials for the purpose of obtaining legal advice for the Commission with respect to the requested action on HO-10576	WP, AC, DP	
255	SEC-MC0300542	SEC-MC0300542	11/26/2007	Riwe, Julie M.	Frestad, Scott	Kaplan, Robert			Email transmitting November 26, 2007 draft Action Memorandum for HO-10576	WP	
256	SEC-MC0300543	SEC-MC0300555	11/26/2007	Riwe, Julie M.	Frestad, S.W.; Kaplan, R.B.; Other?				November 26, 2007 draft Action Memorandum presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576	WP, DP, AC	
257	SEC-MC0300556	SEC-MC0300556	11/26/2007	Riwe, Julie M.	O'Rourke, Kevin	Kaplan, Robert			Email transmitting November 26, 2007 draft Action Memorandum for HO-10576 with request for comments before forwarding to Office of General Counsel	WP, AC	
258	SEC-MC0300557	SEC-MC0300559	11/26/2007	Riwe, Julie M.	O'Rourke, Kevin; Kaplan, Robert; Chaudoin, Daniel T.				November 26, 2007 draft Action Memorandum presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576 attached to SEC-MC0300555	WP, AC, DP	
259	SEC-MC0301232	SEC-MC0301232	11/26/2007	O'Rourke, Kevin	Mella, Lou			Riwe, Julie M.; Kaplan, R.B.	Email forwarding draft Action Memorandum discussing law and evidence for purpose of seeking authorization to file civil action in HO-10576 with counsel's comments on revisions to draft	WP, AC, DP	
260	SEC-MC0301233	SEC-MC0301245	11/26/2007	O'Rourke, Kevin	Mella, Lou			Kaplan, Robert	Draft Action Memorandum regarding HO-10576, attached to SEC-MC0301232	WP, AC, DP	
261	SEC-MC0301564	SEC-MC0301564	11/26/2007	O'Rourke, Kevin	Riwe, Julie M.	Kaplan, Robert		O'Rourke, Kevin	Emails discussing revisions to Action Memorandum recommending Commission authorization to file civil action against Mark Cuban	WP, AC, DP	
262	SEC-MC0301596	SEC-MC0301596	11/26/2007	Riwe, Julie M.	Chaudoin, Daniel T.			Pisto, L.W.	Email discussing review of draft Action Memorandum for HO-10576 and exhibits thereto forwarded to Office of Chief Counsel	WP, DP, AC	
263	SEC-MC0301644	SEC-MC0301644	11/26/2007	Riwe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.; Frestad, S.W.	Chaudoin, Daniel T.				Email transmitting revised Action Memorandum in HO-10576 containing counsel's evaluation of the facts and law and discussing changes in draft	WP, AC, DP	
264	SEC-MC0301645	SEC-MC0301657	11/26/2007	Frestad, S.W.	Chaudoin, Daniel T.				Draft Action Memorandum in HO-10576 containing counsel's evaluation of the facts and law and discussing changes in draft	WP, AC, DP	
265	SEC-MC0300629	SEC-MC0300541	12/19/2007	Riwe, J.M.	Kaplan, R.B.; Chaudoin, D.T.				December ___, 2007 draft Action Memorandum presenting material facts and discussing legal issues and seeking authorization to bring civil action for HO-10576	WP, AC, DP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	SEC PROQ	ENDPROQ	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
266	SEC-MC0300778	SEC-MC0300790	12/31/2007	Rewe, J.M.; Chaudoin, D.T.; Kaplan, R.B.; Friedstad, S.W.; O'Rourke, K.P.	Commissioners				Signed Action Memorandum to Commission presenting material facts, discussing legal issues, and seeking Commission authorization to initiate civil action.	WP, AC, DP	
267	SEC-MC0301616	SEC-MC0301628	12/31/2007	Rewe, Julie M.; Kaplan, R.B.; Chaudoin, D.T.; Friedstad, S.W.	Aguilar, L.A.; Bondi, B.J.; Broadbent, C.L.; Christian, L.; Burns, J.R.; Casey, K.; Christ, M.; Cohen, A.F.; Daigler, M.; Daily, J.D.; David, B.A.; Devine, S.W.; Dimitrius, D.R.; Freeman, S.K.; Gallagher, M.K.; Jensen, D.L.; Jones, C.H.; Kaptut, J.L.; Kimpel, S.H.; Konick, J.; May, Z.S.; Mills, B.; Nagesh, A.; Paredes, T.A.; Pierson, K.J.; Post, J.L.; Ramarathnam, Vaughan, L.; Waller, E.; Wheat, M.; Wilkinson, P.; Harmon, F.E.; Friedstad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Rewe, J.M.; Dav, C.; O'Rourke, K.P.				Action Memorandum setting forth factual and legal basis for seeking authorization to bring a civil action in HO-10576 circulated to Commissioners, Commissioners' staff, senior enforcement officers, and members of HO-10576 team.	WP, AC, DP	
268	SEC-MC0300039	SEC-MC0300039	1/3/2008	Rewe, Julie M.	Ricciardi, W.	Kaplan, R.B.			Email string sending Wells submissions and other materials for consideration and forwarding response to Kaplan.	WP	
269	SEC-MC0300791	SEC-MC0300791	1/8/2008	Rewe, Julie M.	Levine, R.A.; Pistow, L.W.	Kaplan, Robert; Chaudoin, Daniel T.			Email transmitting judicial decisions and related materials to the Office of General Counsel for consideration in conjunction with HO-10576, with comments to case team.	WP, AC, DP	
270	SEC-MC0300777	SEC-MC0300777	1/11/2008	Rewe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.; O'Rourke, Kevin				Email from counsel transmitting potential evidence in support of allegations underlying the investigation in HO-10576.	WP	
271	SEC-MC0300775	SEC-MC0300775	1/14/2008	Rewe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.; O'Rourke, Kevin				Email raising questions and seeking input on draft litigation release in anticipation of filing complaint in HO-10576.	WP, DP	
272	SEC-MC0300776	SEC-MC0300776	1/14/2008	Rewe, J.M.	Kaplan, Robert; Chaudoin, Daniel T.; O'Rourke, Kevin				Draft litigation release for use when complaint filed in HO-10576, attached to SEC-MC0300775.	WP, DP	
274	SEC-MC0300098	SEC-MC0300101	1/22/2008	Rewe, Julie	Kaplan, Robert			Kaplan, Robert; Rewe, Julie	Draft talking points on HO-10576 prepared by counsel in preparation for January 22, 2008 meeting with Commissioners' legal assistants.	WP, AC, DP	
275	SEC-MC0300132	SEC-MC0300132	1/22/2008	Rewe, J.M.	Kaplan, Robert	Friedstad, Scott			Email string forwarding revised talking points for meeting with Commissioners' legal counsel to discuss HO-10576.	WP	
276	SEC-MC0300654	SEC-MC0300654	1/22/2008	McGarey, Timothy N.	Zelinsky, Yuri; Turner, Alton O.				Email transmitting draft response to inquiry from FINRA (SEC-MC0300651 -- 653) for purposes of obtaining counsel's comments.	WP, LE	
277	SEC-MC0300114	SEC-MC0300115	1/24/2008	Rewe, Julie	Kaplan, Robert				Draft memorandum discussing HO-10576, including discussion of disciplinary action against employee, prepared for Linda Thomsen to provide to Chairman Cox.	WP, DP, PA	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-18-2010 Production - Electronic Document WP Privilege Log

Index Number	BESPROD.	ENDPROD.	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
278	SEC-MC0300117	SEC-MC0300122	1/24/2008	Riwe, J.M.	Kaplan, R.B.				February 27, 2007 version of Action Memorandum discussing law and evidence in support of recommendation with respect to HO-10576 forwarded by R. Kaplan to J. Riwe	WP, AC, DP	
279	SEC-MC0300737	SEC-MC0300737	1/24/2008	Riwe, Julie M.	Friestad, Scott; Kaplan, Robert; Chaudoin, Daniel T.	ORourke, Kevin			Email transmitting revised draft complaint in HO-10576	WP	
280	SEC-MC0300738	SEC-MC0300746	1/24/2008	Riwe, Julie M.	Friestad, Scott; Chaudoin, Daniel T.	ORourke, Kevin			January 24, 2008 draft complaint in HO-10576 attached to SEC-MC0300737	WP	
281	SEC-MC0300017	SEC-MC0300017	1/25/2008	Friestad, Scott	Reed, Matthew P.; Kaplan, Robert; Riwe, Julie M.				Notice from Office of Secretary pulling HO-10576 from Commission calendar for January 31, 2008, with cover note from S. Friestad, including discussion of disciplinary action against employee	WP, PA, DP	
282	SEC-MC0300085	SEC-MC0300085	1/25/2008	Friestad, Scott	Thomsen, Linda; Ricciardi, Walter	Kaplan, Robert			Email discussing and transmitting draft chronology of HO-10576 investigation, including discussion of disciplinary action against employee.	WP, DP, PA	
283	SEC-MC0300086	SEC-MC0300088	1/25/2008	Friestad, Scott	Thomsen, Linda; Ricciardi, Walter	Kaplan, Robert			Memorandum discussing chronology of Mamma.com investigation, including discussion of disciplinary action against employee, attached to SEC-MC0300085.	WP, DP, PA	
284	SEC-MC0300128	SEC-MC0300128	1/25/2008	Kaplan, Robert	Friestad, Scott			Friestad, Scott; Kaplan, Robert	Email string discussing revisions to memorandum on chronology of HO-10576 investigation	WP, DP	
285	SEC-MC0300129	SEC-MC0300131	1/25/2008	Kaplan, Robert	Friestad, Scott				January 25, 2008 draft of memorandum on chronology of HO-10576 investigation and employee actions prepared for L. Thomsen to provide to Commissioner Cox, attached to SEC-MC0300128.	WP, AC, DP	
286	SEC-MC0300727	SEC-MC0300727	1/25/2008	Riwe, Julie M.	Friestad, Scott; Kaplan, Robert; Chaudoin, Daniel T.	ORourke, Kevin			Email transmitting revised draft complaint in HO-10576 and discussing changes from prior draft	WP	
287	SEC-MC0300728	SEC-MC0300736	1/25/2008	Riwe, J.M.	Friestad, Scott; Kaplan, Robert; Chaudoin, Daniel T.	ORourke, Kevin			January 25, 2008 draft of complaint in HO-10576	WP	
288	SEC-MC0301164	SEC-MC0301166	1/25/2008						Draft chronology of the HO-10576 investigation and attorney communications with Mark Cuban, including discussion of disciplinary action against employee, attached to SEC-MC0301163	WP, PA, DP	
289	SEC-MC0301168	SEC-MC0301171	1/25/2008	Kortash, Stephen J.	Friestad, Scott				Chronology of the HO-10576 investigation and attorney communications with Mark Cuban, including discussion of disciplinary action against employee, attached to SEC-MC0301167	WP, PA, DP	
290	SEC-MC0301513	SEC-MC0301513	1/25/2008	ORourke, Kevin	Riwe, Julie M.				Email transmitting revised draft complaint discussing in HO-10576	WP	
291	SEC-MC0301665	SEC-MC0301665	1/25/2008	Ricciardi, Walter	Friestad, Scott; Thomsen, Linda	Kaplan, Robert			Email string discussing draft chronology of HO-10576 investigation, including discussion of disciplinary action of employee not involved in HO-10576	WP, PA, DP	
292	SEC-MC0302423	SEC-MC0302423	1/25/2008	Ricciardi, Walter	Gallagher, Jr., Daniel M.			Kaplan, Robert; Friestad, Scott; Thomsen, Linda	Email forwarding memorandum prepared for Director of Enforcement providing chronology of HO-10576 investigation and actions of attorney not involved in HO-10576, includes disciplinary action discussion against employee	WP, PA, DP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	BEQPROD	EXPPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
293	SEC-MC0302424	SEC-MC0302426	1/26/2008	Ricciardi, Walter	Gallagher, Jr., Daniel M.			Kaplan, Robert; Friestad, Scott; Thomsen, Linda;	Draft memorandum prepared for Director of Enforcement setting out chronology of HO-10576 investigation and actions of attorney not involved in HO-10576, includes disciplinary action discussion against employee, attached to SEC-MC0302423.	WP, PA, DP	
294	SEC-MC0302459	SEC-MC0302459	1/26/2008	Friestad, Scott	Thomsen, Linda; Ricciardi, Walter	Kaplan, Robert			Email forwarding draft memorandum prepared for Director of Enforcement providing chronology of HO-10576 investigation and actions of attorney not involved in HO-10576, includes disciplinary action discussion against employee	WP, PA, DP	
295	SEC-MC0302460	SEC-MC0302462	1/26/2008	Friestad, Scott	Thomsen, Linda; Ricciardi, Walter	Kaplan, Robert			Draft memorandum prepared for Director of Enforcement to send to Chairman Cox providing chronology of HO-10576 investigation and actions of attorney not involved in HO-10576, includes disciplinary action discussion against employee, attached to SEC-MC0302459	WP, DP, PA	
296	SEC-MC0302586	SEC-MC0302586	1/26/2008	Vollmer, Andrew	Cartwright, Brian G.			Romero, Chrisy	Email commenting on legal advice of Office of General Counsel in advance of meeting with Linda Thomsen and Chairman Cox	WP, AC, DP	
297	SEC-MC030102	SEC-MC030102	1/28/2008	Riewe, Julie M.	Kaplan, Robert			Chaudoin, Daniel	Email string providing update on HO-10576 for quarterly activity report on ongoing investigations	WP	
298	SEC-MC0301601	SEC-MC0301601	1/28/2008	Chaudoin, Daniel T.	Riewe, Julie M.				Response to litigation hold notice in HO-10576	WP	
299	SEC-MC0300014	SEC-MC0300014	1/29/2008	Riewe, J.M.	Kaplan, R.B.; O'Rourke, K.P.				Email attaching litigation hold notice for HO-10576	WP	
300	SEC-MC0300015	SEC-MC0300016	1/30/2008	Riewe, J.M.	Korotash, S.				Litigation Hold Notice for HO-10576, dated January 31, 2008, attached to SEC-MC0300014	WP	
301	SEC-MC0301163	SEC-MC0301163	1/30/2008	Friestad, Scott	Korotash, Stephen J.; Thomsen, L.C.; Ricciardi, W.				Emails forwarding draft chronology of the HO-10576 investigation, including discussion of disciplinary action against employees, with comments of counsel on additional information to be provided	WP, PA, DP	
302	SEC-MC0301167	SEC-MC0301167	1/30/2008	Korotash, Stephen J.	Friestad, Scott			Zelinsky, Yuri; Brockmeyer, Kara; Ungar, Michael; Harley, Paul; O'Rourke, Kevin	Email transmitting revised draft chronology of the HO-10576 investigation and attorney communications with Mark Cuban, including discussion of disciplinary action against employee	WP, PA, DP	
303	SEC-MC0300042	SEC-MC0300042	1/31/2008	Riewe, Julie M.	Turner, Alton O.				Email string attaching February 7, 2008 litigation hold notice for HO-10576 with response thereto from A. Turner	WP	
304	SEC-MC0300043	SEC-MC0300043	1/31/2008	Brockmeyer, Kara	Riewe, Julie M.; Zelinsky, Yuri; Ungar, Michael A.; Turner, Alton O.; Harley, Paul	O'Rourke, Kevin		Zelinsky, Yuri; Brockmeyer, Kara; Ungar, Michael; Harley, Paul; O'Rourke, Kevin	Email string attaching February 7, 2008 litigation hold notice for HO-10576 with response thereto from K. Brockmeyer	WP	
305	SEC-MC0300046	SEC-MC0300047	1/31/2008	Riewe, J.M.	Zelinsky, Yuri; Brockmeyer, Kara; Ungar, Michael; Turner, Alton; O'Rourke, Kevin				Litigation hold notice for HO-10576 attached to SEC-MC0300045	WP	
306	SEC-MC0300089	SEC-MC0300089	1/31/2008	Friestad, Scott	Thomsen, Linda; Ricciardi, Walter	Kaplan, Robert		Friestad, Scott; Kaplan, Robert; Ricciardi, Walter; Thomsen, Linda	Email discussing and transmitting revised draft chronology of HO-10576 investigation and potential disciplinary action against employee	WP, DP, PA	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-16-2010 Production - Electronic Document WP Privilege Log

Index Number	SEC PROD	END PROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
307	SEC-MC0300976	SEC-MC0300977	1/31/2008	Korotash, Stephen J.	Romero, Rose L.; Edmundson, Kevin J.; Norris, Jeffrey B.	ORourke, Kevin			January 31, 2008 litigation hold notice for HO-10576 sent to individuals in Fort Worth Regional Office.	WP	
308	SEC-MC0300987	SEC-MC0300988	1/31/2008	Rewe, J.M.	Fargason, Gregory; Spirahn, Rose L.; Edmundson, Kevin J.; Norris, Jeffrey B.	ORourke, Kevin			Litigation hold notice for HO-10576 attached to SEC-MC0300986	WP	
309	SEC-MC0300994	SEC-MC0300995	2/1/2008	Korotash, S.J.	Edmundson, Kevin J.; Norris, Jeffrey B.				Copy of January 31, 2008 litigation hold notice for HO-10576	WP	
310	SEC-MC0300998	SEC-MC0300996	1/31/2008	Rewe, Julie M.	Korotash, Stephen J.	ORourke, Kevin			Email transmitting January 31, 2008 litigation hold notice for HO-10576 for distribution to individuals in Fort Worth Regional Office	WP	
311	SEC-MC0300997	SEC-MC0300997	1/31/2008	Korotash, Stephen J.	Romero, Rose L.; Edmundson, Kevin J.; Norris, Jeffrey B.				Notice of litigation hold in HO-10576 for distribution to individuals in Fort Worth Regional Office, attached to SEC-MC0300997	WP	
312	SEC-MC0300998	SEC-MC0300999	1/31/2008	S.J.	Romero, Rose L.; Edmundson, Kevin J.; Norris, Jeffrey B.				Copy of January 31, 2008 litigation hold notice for distribution to individuals in Fort Worth Regional Office	WP	
313	SEC-MC0301002	SEC-MC0301003	1/31/2008	Rewe, J.M.	Korotash, Stephen J.	ORourke, Kevin			Litigation hold notice for HO-10576 for distribution to individuals in Fort Worth Regional Office	WP	
314	SEC-MC0301028	SEC-MC0301029	1/31/2008	Rewe, J.M.	Zelinsky, Y.; Brockmeyer, K.; Ungar, M.A.; Turner, A.O.; Harley, P.	ORourke, Kevin			Litigation hold notice for HO-10576 resent on April 30, 2008 reminding counsel of litigation hold	WP	
315	SEC-MC0301036	SEC-MC0301037	1/31/2008	Rewe, J.M.	Zelinsky, Y.; Brockmeyer, K.; Ungar, M.A.; Turner, A.O.; Harley, P.	ORourke, Kevin			Litigation hold notice for HO-10576 resent on April 30, 2008 reminding counsel of litigation hold	WP	
316	SEC-MC0301495	SEC-MC0301495	1/31/2008	Friestad, Scott	Kaplan, Robert			Thomsen, Linda; Ricciardi, Walter	Email string forwarding revised chronology of HO-10576 investigation and actions of employee not involved in HO-10576, including references to disciplinary action	WP, PA, DP	
317	SEC-MC0301501	SEC-MC0301501	1/31/2008	Thomsen, Linda	Friestad, Scott			Thomsen, Linda; Ricciardi, Walter; Kaplan, Robert	Email string attaching chronology of HO-10576 investigation, actions of employee not involved in that investigation, including discussion of disciplinary action against employee, and discussing timing of Commission consideration of Action Memorandum	WP, PA, DP	
318	SEC-MC0301566	SEC-MC0301566	1/31/2008	Ricciardi, Walter	Friestad, Scott; Thomsen, Linda	Kaplan, Robert			Email string discussing revised draft chronology of HO-10576 investigation and disciplinary action of staff attorney not involved in HO-10576	WP, PA	
319	SEC-MC0301908	SEC-MC0301908	1/31/2008	Brockmeyer, Kara	Rewe, J.M.				Response to litigation hold notice sent out on January 31, 2008 for HO-10576	WP	
320	SEC-MC0302463	SEC-MC0302463	1/31/2008	Friestad, Scott	Thomsen, Linda; Ricciardi, Walter	Kaplan, Robert			Email discussing and transmitting revised memorandum prepared for Director of Enforcement providing chronology of HO-10576 investigation and actions of attorney not involved in HO-10576	WP, DP, PA	
321	SEC-MC0302464	SEC-MC0302467	1/31/2008	Friestad, Scott	Thomsen, Linda; Ricciardi, Walter				Draft memorandum prepared for Director of Enforcement to send to Chairman Cox providing chronology of HO-10576 investigation and actions of attorney not involved in HO-10576, includes disciplinary action discussion against employee, attached to SEC-MC0302463	WP, PA, DP	
322	SEC-MC0302217	SEC-MC0302217	1/31/2008	Rewe, J.	Korotash, S	ORourke, K			Email forwarding litigation hold for HO-10576	WP	
323	SEC-MC0302180	SEC-MC0302181	1/31/2008	Korotash, Stephen J.	Norris, J.B.				Litigation hold notice for HO-10576 sent to individuals in Fort Worth Regional Office	WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 94-19-2010 Production - Electronic Document WP Privilege Log

Index Number	SEC-PROD	END-PROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
324	SEC-MC0302199	SEC-MC0302200	1/31/2008	Korotash, Stephen J.					Litigation hold notice for HO-10576 sent to individuals in Fort Worth Regional Office	WP	
325	SEC-MC0300000	SEC-MC0300000	2/1/2008	Chion, Antonia	Rieve, J.M.; Chion, Antonia; Rieve, Julie; O'Rourke, Kevin; Zelinsky, Yuri; Brockmeyer, Kara; Ungar, Michael; Turner, Alton; Harley, Paul	O'Rourke, K.P.		Zelinsky, Yuri; Brockmeyer, K.; Ungar, M.A.; Turner, A.O.; Harley, P.	Response to receipt of notice of Litigation Hold notice for HO-10576	WP	
326	SEC-MC0300001	SEC-MC0300002	2/1/2008	Rieve, Julie		O'Rourke, Kevin		Rieve, Julie;	Litigation Hold Notice for HO-10576, dated January 31, 2008 attached to SEC-MC0300000	WP	
327	SEC-MC0300048	SEC-MC0300048	2/1/2008	Harley, Paul	Turner, Alton O.			Rieve, Julie; Zelinsky, Yuri; Brockmeyer, Kara; Ungar, Michael; Turner, Alton; Harley, Paul; O'Rourke, Kevin	Email from P. Harley responding to litigation hold notice for HO-10576, dated January 31, 2008 sent by J. Rieve.	WP	
328	SEC-MC0301009	SEC-MC0301009	2/1/2008	O'Rourke, Kevin	Rieve, Julie M.			Zelinsky, Yuri; Brockmeyer, K.; Ungar, M.A.; Turner, A.O.; Harley, P.	Email string with response of Zelinsky to January 31, 2008 litigation hold notice and discussion among counsel about further distribution of the notice	WP	
329	SEC-MC0301906	SEC-MC0301906	2/1/2008	Zelinsky, Yuri	Rieve, Julie M.				Response to litigation hold notice sent out on January 31, 2008 for HO-10576	WP	
330	SEC-MC0300000	SEC-MC0300000	2/1/2008	Chion, Antonia	Rieve, Julie M.			Zelinsky, Yuri; Brockmeyer, Kara; Ungar, Michael A.; Turner, Alton O.; Harley, Paul	Email string with litigation hold notice for HO-10576 and response thereto from Chion	WP	
331	SEC-MC0302287	SEC-MC0302287	2/1/2008	Korotash, Stephen J.	Romero, Rose L.; Norris, Jeffrey B.	O'Rourke, Kevin	Edmondson, Kevin J.		Email transmitting HO-10576 litigation hold notice	WP	
332	SEC-MC0302179	SEC-MC0302179	2/1/2008	Korotash, Stephen J.	Norris, J.B.				Litigation hold notice for HO-10576 sent to individuals in Fort Worth Regional Office	WP	
333	SEC-MC0302197	SEC-MC0302197	2/1/2008	Korotash, Stephen J.	Romero, Rose L.; Norris, Jeffrey B.	Edmondson, Kevin J.			Email transmitting litigation hold notice for HO-10576 sent to individuals in Fort Worth Regional Office	WP	
334	SEC-MC0302198	SEC-MC0302198	2/1/2008	Korotash, Stephen J.					Email forwarding memorandum prepared for Director of Enforcement providing chronologies of HO-10576 investigation and actions of attorney not involved in HO-10576	WP	
335	SEC-MC0302403	SEC-MC0302403	2/4/2008	Gallagher, Jr., Daniel M.	Uhlmann, Peter; Romero, Christy L.				Memorandum prepared for Director of Enforcement setting out chronology of HO-10576 investigation and actions of employee not involved in HO-10576, includes disciplinary action discussion against employee, attached to SEC-MC0302403.	WP, PA, DP	
336	SEC-MC0302404	SEC-MC0302407	2/4/2008	Gallagher, Jr., Daniel M.	Uhlmann, Peter; Romero, Christy L.				Email forwarding memorandum prepared for Director of Enforcement providing chronology of HO-10576 investigation and actions of attorney not involved in HO-10576	WP, DP, PA	
337	SEC-MC0302408	SEC-MC0302408	2/4/2008	Thomsen, Linda	Gallagher, Jr., Daniel M.					WP, DP	
338	SEC-MC0302409	SEC-MC0302412	2/4/2008	Thomsen, Linda	Gallagher, Jr., Daniel M.				Memorandum prepared for Director of Enforcement setting out chronology of HO-10576 investigation and actions of attorney not involved in HO-10576, includes disciplinary action discussion against employee, attached to SEC-MC0302408	WP, DP, PA	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	SECPROD	ENSPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
339	SEC-MC0302413	SEC-MC0302413	2/4/2008	Thomsen, Linda	Gallagher, Jr., Daniel M.			Riewe, Julie; Kaplan, Robert; Friestad, Scott; Ricciardi, Walter	Email string discussing and forwarding Memorandum prepared for Director of Enforcement setting out chronology of HO-10576 investigation and actions of attorney not involved in HO-10576, includes disciplinary action discussion against employee	WP, PA, DP	
340	SEC-MC0302414	SEC-MC0302417	2/4/2008	Thomsen, Linda	Gallagher, Jr., Daniel M.			Kaplan, Robert; Friestad, Scott; Ricciardi, Walter	Memorandum from Director of Enforcement setting out chronology of HO-10576 investigation and actions of attorney not involved in HO-10576 dated January 30, 2008, includes disciplinary action discussion against employee, attached to SEC-MC0302413	WP, DP, PA	
341	SEC-MC0302418	SEC-MC0302418	2/4/2008	Thomsen, L.C.	Gallagher, D.M.	Friestad, S.W.			Email string forwarding Memorandum from Director of Enforcement setting out chronology of HO-10576 investigation and actions of attorney not involved in HO-10576	WP, PA, DP	
342	SEC-MC0302419	SEC-MC0302422	2/4/2008	Friestad, S.W.	Thomsen, L.C.	Gallagher, D.M.		Zeinsky, Yuri; Brockmeyer, Kara; Ungar, Michael; Turner, Alton; O'Rourke, Kevin	Internal memorandum discussing the chronology of HO-10576, dated February 4, 2008 prepared by S. Friestad, includes disciplinary action discussion against employee, attached to SEC-MC0302418	WP, DP, PA	
343	SEC-MC0300058	SEC-MC0300059	2/5/2008	Riewe, Julie M.	Harley, Paul				Email string with P. Harley responses to reminder of litigation hold notice for HO-10576	WP	
344	SEC-MC0300084	SEC-MC0300084	2/5/2008	Thomsen, Linda	Gallagher, D.M.			Friestad, Scott; Kaplan, Robert	Forwarding L. Thomsen transmittal to Gallagher of Feb. 4, 2008 memorandum SEC-MC0300977 - 1000	WP	
345	SEC-MC0301040	SEC-MC0301040	2/5/2008	Riewe, Julie M.	Friestad, Scott			Kaplan, R.B.; Mejia, L.; Sokobin, J.; Buford, C.L.; Levine, R.A.; Pisto, R.A.	Email string forwarding litigation hold notice for HO-10576 with response from S.W. Friestad	WP	
346	SEC-MC0300123	SEC-MC0300123	2/6/2008	Kaplan, Robert	Reed, Matthew P.				Email transmitting internal memorandum regarding HO-10576 investigation and chronology thereof	WP, DP	
347	SEC-MC0300124	SEC-MC0300127	2/6/2008	Kaplan, Robert	Reed, Matthew P.				Memorandum on chronology of HO-10576, including discussion of disciplinary action against employee not involved in HO-10576, prepared by S. Friestad for L. Thomsen, attached to SEC-MC0300123	WP, PA, DP	
348	SEC-MC0300007	SEC-MC0300007	2/7/2008	Riewe, Julie	Kaplan, Robert; Gallagher, Jr., Daniel M.; O'Rourke, Kevin; Riewe, Julie; Romero, Christy			Gallagher, Jr., Daniel M.; O'Rourke, Kevin; Riewe, Julie; Romero, Christy	Forwarding response from Christy Romero for Office of Chairman to litigation hold notice for HO-10576	WP	
349	SEC-MC0300008	SEC-MC0300009	2/7/2008	Riewe, J.M.					Litigation Hold Notice for HO-10576, attached to SEC-MC0300007	WP	
350	SEC-MC0300010	SEC-MC0300010	2/7/2008	Riewe, Julie M.	Gallagher, Jr., Daniel M.	Kaplan, R.B.; O'Rourke, Kevin			Email attaching litigation hold notice for HO-10576	WP	
351	SEC-MC0300011	SEC-MC0300012	2/7/2008	Riewe, Julie	Gallagher, Jr., Daniel M.	Kaplan, Robert; O'Rourke, Kevin			Litigation Hold Notice for HO-10576, attached to SEC-MC0300010	WP	
352	SEC-MC0300082	SEC-MC0300082	2/7/2008	Riewe, Julie M.	Thomsen, Linda; Ricciardi, Walter	O'Rourke, Kevin			Email transmittal of litigation hold notice for HO-10576	WP	
353	SEC-MC0300083	SEC-MC0300084	2/7/2008	Riewe, Julie M.	Thomsen, Linda; Ricciardi, Walter	O'Rourke, Kevin			February 7, 2008 litigation hold notice for HO-10576	WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	SEGPROD	EXMPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
354	SEC-MC0300990	SEC-MC0300991	2/7/2008	Rewe, J.M.	Gallagher, Jr., Daniel M.; Romero, Christy L.	ORourke, Kevin			February 7, 2008 litigation hold notice for HO-10576 attached to SEC-MC0300989	WP	
355	SEC-MC0301006	SEC-MC0301007	2/7/2008	Rewe, Julie M.	Clarkson, James; Halloran, Michael J.	ORourke, Kevin		Gallagher, D.M.; Halloran, M.J.	Litigation hold notice for HO-10576 attached to SEC-MC0301004	WP	
356	SEC-MC0301025	SEC-MC0301026	2/7/2008	Rewe, Julie M.	Clarkson, James; Halloran, Michael J.	ORourke, Kevin			Litigation hold notice for HO-10576 attached to email reminding counsel of litigation hold SEC-MC0301024	WP	
357	SEC-MC03002379	SEC-MC03002379	2/7/2008	Romero, Christy L.	Rewe, Julie M.			Gallagher, Jr.; Daniel; Kaplan, Robert; ORourke, Kevin	Email string responding to litigation hold notice for HO-10576	WP	
358	SEC-MC03002380	SEC-MC03002381	2/7/2008	Romero, Christy L.	Rewe, Julie M.; Eastman, James L.; Post, Michael L.; Jones, C.H.; Halloran, Michael J.				Litigation hold notice for HO-10576, dated February 7, 2008 attached to SEC-MC03002375	WP	
359	SEC-MC03002395	SEC-MC03002395	2/7/2008	Gallagher, Jr., Daniel M.	Romero, Christy L.; Eastman, James L.; Jones, C.H.; Halloran, Michael J.			Rewe, Julie; Kaplan, Robert; ORourke, Kevin	Email string forwarding litigation hold notice for HO-10576	WP	
360	SEC-MC03002396	SEC-MC03002397	2/7/2008	Gallagher, Jr., Daniel M.	Gallagher, Jr., Daniel M.	Kaplan, Robert; ORourke, Kevin		Rewe, Julie; Kaplan, Robert; ORourke, Kevin	Litigation hold notice for HO-10576 attached to SEC-MC03002375	WP	
361	SEC-MC03002427	SEC-MC03002427	2/7/2008	Rewe, Julie M.	Gallagher, Jr., Daniel M.	ORourke, Kevin			Email transmitting litigation hold notice for HO-10576	WP	
362	SEC-MC03002428	SEC-MC03002429	2/7/2008	Rewe, Julie M.	Gallagher, Jr., Daniel M.	ORourke, Kevin			Litigation hold notice for HO-10576, attached to SEC-MC03002427	WP	
363	SEC-MC03002430	SEC-MC03002430	2/7/2008	Gallagher, Jr., Daniel M.	Uhlmann, Peter; Christ, Mary			Rewe, Julie; Kaplan, Robert; ORourke, Kevin	Email forwarding litigation hold notice for HO-10576	WP	
364	SEC-MC03002431	SEC-MC03002432	2/7/2008	Gallagher, Jr., Daniel M.	Uhlmann, Peter; Christ, Mary			Rewe, Julie; Kaplan, Robert; ORourke, Kevin	Litigation hold notice for HO-10576, attached to SEC-MC03002430	WP	
365	SEC-MC03002436	SEC-MC03002436	2/7/2008	Rewe, Julie M.	Thomsen, Linda; Ricciardi, Walter	ORourke, Kevin			Email transmitting litigation hold notice for HO-10576	WP	
366	SEC-MC03002457	SEC-MC03002458	2/7/2008	Rewe, Julie M.	Thomsen, Linda; Ricciardi, Walter	ORourke, Kevin			Litigation hold notice for HO-10576, attached to SEC-MC03002430	WP	
367	SEC-MC03002477	SEC-MC03002478	2/7/2008	Halloran, Michael J.	Gallagher, Jr., Daniel M.; Romero, Christy L.; Post, Eastman, James L.; Jones, C.H.; Michael L.; Jones, C.H.			Rewe, Julie; Kaplan, Robert; ORourke, Kevin; Romero, Christy; Rewe, Julie; Kaplan, Robert; ORourke, Kevin; Eastman, James; Post, Michael L.; Jones, C.H.	Email string forwarding and responding to litigation hold notice for HO-10576	WP	
368	SEC-MC03002484	SEC-MC03002485	2/7/2008	Gallagher, Jr., Daniel M.	Halloran, Michael J.			Romero, Christy; Rewe, Julie; Kaplan, Robert; ORourke, Kevin	Email string responding to litigation hold notice for HO-10576	WP	
369	SEC-MC03002486	SEC-MC03002486	2/7/2008	Gallagher, Jr., Daniel M.	Uhlmann, Peter; Christ, Mary				Email string responding to litigation hold notice for HO-10576	WP	
370	SEC-MC03002722	SEC-MC03002722	2/11/2008	Rewe, Julie M.	Kaplan, Robert				Email transmitting draft press release to be issued when complaint filed in HO-10576	WP, DP	
371	SEC-MC03002723	SEC-MC03002724	2/11/2008	Rewe, J.M.	Kaplan, R.B.				Draft press release to be issued when complaint filed in HO-10576 attached to SEC-MC03002722	WP, DP	
372	SEC-MC03002483	SEC-MC03002483	2/13/2008	Gallagher, Jr., Daniel M.	Uhlmann, Peter			Romero, Christy; Rewe, Julie; Kaplan, Robert; ORourke, Kevin	Email string responding to litigation hold notice for HO-10576	WP	
373	SEC-MC03000006	SEC-MC03000006	2/19/2008	Gallagher, Jr., Daniel M.	ORourke, Kevin	Kaplan, Robert; Rewe, Julie M.			Email string containing litigation hold notice and response of D.M. Gallagher to receipt of litigation hold notice for HO-10576	WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-18-2010 Production - Electronic Document WP Privilege Log

Index Number	SEGEROD	ENMPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
374	SEC-MC0300040	SEC-MC0300041	2/19/2008	Kaplan, Robert	Gallagher, Jr., Daniel M.			Ricciardi, W.	Email string attaching February 7, 2008 litigation hold notice for HO-10576 with response thereto from W. Ricciardi	WP	
375	SEC-MC0301004	SEC-MC0301005	2/19/2008	Clarkson, James	Rewe, Julie M.	O'Rourke, Kevin		Gallagher, D.M.; Halloran, M.J.	Email string responding to litigation hold notice of February 7, 2008 in HO-10576	WP	
376	SEC-MC0301008	SEC-MC0301008	2/19/2008	Rewe, Julie M.	Gallagher, Jr., Daniel M.; O'Rourke, Kevin			Kaplan, R.B.	Email string containing follow up response to litigation hold notice in HO-10576 sent out on February 7, 2008	WP	
377	SEC-MC0302479	SEC-MC0302480	2/19/2008	Gallagher, Jr., Daniel M.	O'Rourke, Kevin	Kaplan, Robert; Rewe, Julie M.		Romero, Christy; Rewe, Julie; O'Rourke, Kevin	Email string responding to litigation hold notice for HO-10576	WP	
378	SEC-MC0302481	SEC-MC0302482	2/19/2008	Kaplan, Robert	Gallagher, Jr., Daniel M.				Email string forwarding and discussing litigation hold notice for HO-10576	WP	
379	SEC-MC0300992	SEC-MC0300992	2/20/2008	Korotash, Stephen J.	Rewe, Julie M.; O'Rourke, Kevin				Response to reminder of litigation hold notice in HO-10576 forwarded by Korotash to individuals in Fort Worth Regional Office	WP	
380	SEC-MC0300993	SEC-MC0300993	2/20/2008	Korotash, Stephen J.	Romero, Rose L.; Edmundson, Kevin J.; Norris, Jeffrey B.			Romero, R.; Norris, J.B.	Email transmittal of reminder of litigation hold in HO-10576, attaching SEC-MC0300994 - 95	WP	
382	SEC-MC0300003	SEC-MC0300003	4/30/2008	Chion, Antonia	Chion, Antonia; Rewe, Julie M.	O'Rourke, Kevin		Chion, Antonia; Rewe, Julie; O'Rourke, Kevin; Zelinsky, Yuri; Brockmeyer, Kara; Ungar, Michael; Turner, Alton; Harley, Paul	Email string containing reminder of litigation hold in HO-10576 and response thereto from Antonia Chion	WP	
383	SEC-MC0300044	SEC-MC0300044	4/30/2008	Turner, Alton O.	Rewe, Julie M.			Zelinsky, Yuri; Brockmeyer, Kara; Ungar, Michael; Harley, Paul; O'Rourke, Kevin	Email string forwarding and reminder litigation hold notice for HO-10576 with response from A. Turner	WP	
384	SEC-MC0300045	SEC-MC0300045	4/30/2008	Rewe, Julie M.	Zelinsky, Yuri; Brockmeyer, Kara; Ungar, Michael; Turner, Alton; Harley, Paul; O'Rourke, Kevin			Rewe, Julie; Zelinsky, Yuri; Brockmeyer, Kara; Ungar, Michael; Turner, Alton; O'Rourke, Kevin	Email forwarding reminder of litigation hold for HO-10576	WP	
385	SEC-MC0300060	SEC-MC0300061	4/30/2008	Harley, Paul	Rewe, Julie M.				Email string containing P. Harley response to reminder of litigation hold for HO-10576	WP	
386	SEC-MC0300974	SEC-MC0300974	4/30/2008	Korotash, Stephen J.	Romero, Rose L.; Edmundson, Kevin J.; Norris, Jeffrey B.	Rewe, Julie M.; O'Rourke, Kevin			Email forwarding reminder of litigation hold for HO-10576	WP	
387	SEC-MC0300975	SEC-MC0300975	4/30/2008	Korotash, Stephen J.	Romero, Rose L.; Edmundson, Kevin J.; Norris, Jeffrey B.	O'Rourke, Kevin			Litigation Hold Notice transmittal for HO-10576 sent to individuals in Fort Worth Regional Office	WP	
388	SEC-MC0300980	SEC-MC0300981	4/30/2008	Rewe, Julie M.	Thomsen, Linda; Ricciardi, Walter	O'Rourke, Kevin			Email string forwarding reminder of litigation hold in HO-10576	WP	
389	SEC-MC0300984	SEC-MC0300985	4/30/2008	Sporkin, Thomas	Rewe, Julie M.; Faragasso, Gregory	O'Rourke, Kevin			Email string with response to reminder of litigation hold for HO-10576	WP	
390	SEC-MC0300986	SEC-MC0300986	4/30/2008	Rewe, Julie M.	Sporkin, Thomas	O'Rourke, Kevin			Email transmittal reminder of litigation hold in HO-10576	WP	
391	SEC-MC0300989	SEC-MC0300989	4/30/2008	Rewe, Julie M.	Gallagher, Jr., Daniel M.; Romero, Christy L.	O'Rourke, Kevin			Email transmittal reminder of litigation hold in HO-10576	WP	
392	SEC-MC0301000	SEC-MC0301000	4/30/2008	Rewe, J.M.	Korotash, Stephen J.	O'Rourke, Kevin			Email transmittal reminder of litigation hold for HO-10576 with attachments for individuals in the Fort Worth Regional Office	WP	
393	SEC-MC0301001	SEC-MC0301001	4/30/2008	Rewe, Julie M.	Korotash, Stephen J.	O'Rourke, Kevin			Notice of litigation hold in HO-10576 from S. Korotash for Fort Worth Regional Office	WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-15-2010 Production - Electronic Document WP Privilege Log

Index Number	SEGMENT	ENDPROP	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
394	SEC-MC0301014	SEC-MC0301015	4/30/2008	Riewe, Julie M.	ORourke, Kevin			Zelinsky, Y.; Brockmeyer, K.; Turner, A.O.; Harley, P.; Ungar, M.A.	Email string containing response of Yuri Zelinsky to litigation hold notice for HO-10576	WP	
395	SEC-MC0301016	SEC-MC0301016	4/30/2008	Riewe, Julie M.	ORourke, Kevin			Zelinsky, Y.; Brockmeyer, K.; Turner, A.O.; Harley, P.; Ungar, M.A.	Email string containing response of Alton Turner to litigation hold notice for HO-10576	WP	
396	SEC-MC0301017	SEC-MC0301018	4/30/2008	Halloran, Michael J.	Riewe, Julie M.	ORourke, Kevin; Person, Kimberly J.		Clarkson, J.; Halloran, M.J.; Pierson, K.J.	Email string among counsel containing and following up on response of Michael Halloran to litigation hold notice for HO-10576	WP	
397	SEC-MC0301023	SEC-MC0301024	4/30/2008	Riewe, Julie M.	Michael J.	ORourke, Kevin			Email forwarding reminder of litigation hold for HO-10576	WP	
398	SEC-MC0301027	SEC-MC0301027	4/30/2008	Riewe, Julie M.	ORourke, Kevin			Zelinsky, Y.; Brockmeyer, K.; Ungar, M.A.; Turner, A.O.; Harley, P.	Forwarding litigation hold notice reminder for HO-10576 sent to Zelinsky, Brockmeyer, Ungar, Turner, and Harley.	WP	
399	SEC-MC0301041	SEC-MC0301041	4/30/2008	Friedstad, Scott	Riewe, Julie M.			Kaplan, R.B.; Chaudoin, D.T.; Mejia, L.; Sokobin, J.; McKown, J.; Gentry, G.; Buford, C.L.; Levine, R.A.; Pletow, L.W.	Response to reminder of litigation hold for HO-10576	WP	
400	SEC-MC0301264	SEC-MC0301270	4/30/2008	Friedstad, Scott	Thomsen, Linda; Ricciardi, Walter	Calande, Pauline E.		Friedstad, Scott; Thomsen, Linda; Ricciardi, Walter; Calande, Pauline	Memorandum from S. Friedstad to L. Thomsen, dated April 25, 2008, regarding the top ten investigations, which includes discussion on HO-10576, attached to SEC-MC0301263.	WP	
401	SEC-MC0301907	SEC-MC0301907	4/30/2008	Zelinsky, Yuri	Riewe, Julie M.				Response to reminder of litigation hold notice sent out on January 31, 2008 for HO-10576	WP	
402	SEC-MC0302449	SEC-MC0302455	4/30/2008	Friedstad, Scott	Thomsen, Linda; Ricciardi, Walter	Calande, Pauline			April 25, 2008 memorandum summarizing ongoing enforcement investigations, including HO-10576 attached to SEC-MC0302448	WP	
403	SEC-MC0302375	SEC-MC0302376	4/30/2008	Riewe, Julie M.	Gallagher, Jr., Daniel M.; Romero, Christy L.	ORourke, Kevin			Email string forwarding reminder of litigation hold notice for HO-10576	WP	
404	SEC-MC0302377	SEC-MC0302378	4/30/2008	Riewe, Julie M.	Gallagher, Jr., Daniel M.; Romero, Christy L.	ORourke, Kevin			Litigation hold notice for HO-10576, dated February 7, 2008, attached to SEC-MC0302375.	WP	
405	SEC-MC0302491	SEC-MC0302492	4/30/2008	Thomsen, Linda	Riewe, Julie M.				Email responding to reminder of litigation hold for HO-10576	WP	
406	SEC-MC0302493	SEC-MC0302494	4/30/2008	Riewe, Julie M.	Thomsen, Linda; Ricciardi, Walter	ORourke, Kevin		Ricciardi, Walter	Email responding to reminder of litigation hold for HO-10576	WP	
407	SEC-MC0301010	SEC-MC0301010	5/1/2008	Riewe, Julie M.	ORourke, Kevin			Zelinsky, Y.; Brockmeyer, K.; Turner, A.O.; Harley, P.	Email string containing response of Michael Ungar to litigation hold notice for HO-10576	WP	
408	SEC-MC0301011	SEC-MC0301011	5/1/2008	Riewe, Julie M.	ORourke, Kevin			Faragasso, G.; Sporkin, T.	Email string containing response of Gregory Faragasso to litigation hold notice for HO-10576	WP	
409	SEC-MC0301012	SEC-MC0301013	5/1/2008	Riewe, Julie M.	ORourke, Kevin			Zelinsky, Y.; Brockmeyer, K.; Turner, A.O.; Harley, P.; Ungar, M.A.	Email string containing response of Paul Harley to litigation hold notice for HO-10576	WP	
410	SEC-MC0301602	SEC-MC0301603	5/7/2008	Chaudoin, Daniel T.	Riewe, Julie M.				Response to reminder of litigation hold in HO-10576	WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Privilege, WP = Work Product Protection

SEC v. Cuban 04-18-2010 Production - Electronic Document WP Privilege Log

Index Number	BESPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
411	SEC-MC0301604	SEC-MC0301605	5/7/2008	Riwe, Julie M.	Chaudoin, Daniel T.; Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Mejia, L.; Sokobin, J.; McKown, J.; Gentry, G.; Buford, C.L.; Levine, R.A.; Pisto, L.W.; O'Rourke, K.P.; Chaudoin, D.T.			Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Mejia, L.; Sokobin, J.; McKown, J.; Gentry, G.; Buford, C.L.; Levine, R.A.; Pisto, L.W.; O'Rourke, K.P.	Email forwarding January 28, 2008 litigation hold notice for HO-10576	WP	
412	SEC-MC0301606	SEC-MC0301607	5/7/2008	Riwe, Julie M.					January 31, 2008 litigation hold notice for HO-10576, attached to SEC-MC0301604 - 05	WP	
413	SEC-MC0300794	SEC-MC0300794	5/14/2008	Norris, Jeffrey B.	Edmundson, Kevin J.; Romero, Rose L.	Korotash, Stephen J.			Email string with response to reminder of litigation hold for HO-10576 sent to individuals in Fort Worth Regional Office	WP	
414	SEC-MC0302286	SEC-MC0302286	5/14/2008	Norris, Jeffrey B.	Edmundson, Kevin J.; Romero, Rose L.	Korotash, Stephen J.			Email string responding to litigation hold notice for HO-10576	WP	
415	SEC-MC0300793	SEC-MC0300793	5/15/2008	Romero, Rose L.	Edmundson, Kevin J.; Norris, Jeffrey B.	Korotash, Stephen J.			Email string with response to reminder of litigation hold for HO-10576 sent to individuals in Fort Worth Regional Office	WP	
416	SEC-MC0301512	SEC-MC0301512	5/15/2008	Romero, Rose L.	Edmundson, Kevin J.; Norris, Jeffrey B.	Korotash, Stephen J.			Response to reminder of litigation hold in HO-10576	WP	
417	SEC-MC0301563	SEC-MC0301563	5/15/2008	Romero, Rose L.	Edmundson, Kevin J.; Norris, Jeffrey B.	Korotash, Stephen J.		Edmundson, Kevin; Norris, Jeffrey; Romero, Rose; Korotash, Stephen	Response to reminder of litigation hold in HO-10576	WP	
418	SEC-MC0302285	SEC-MC0302285	5/15/2008	Romero, Rose L.	Edmundson, Kevin J.; Norris, Jeffrey B.	Korotash, Stephen J.			Email string responding to receipt of litigation hold notice in HO-10576	WP	
419	SEC-MC0300792	SEC-MC0300792	5/16/2008	Riwe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.				Email transmitting email reporting on follow up to litigation hold notices sent to employee not involved in HO-10576	WP	
420	SEC-MC0301561	SEC-MC0301562	5/16/2008	O'Rourke, Kevin	Adler, Mark A.			Edmundson, Kevin; Mejia, Lou; Romero, Rose; Korotash, Stephen	Email string on handling of litigation hold notice sent to employee, including discussion of disciplinary action against employee	WP, PA	
422	SEC-MC0301030	SEC-MC0301031	5/20/2008	Riwe, Julie M.	O'Rourke, Kevin			Romero, C.L.; Gallagher, D.M.	Email string forwarding litigation hold notice for HO-10576 and response from C. Romero	WP	
423	SEC-MC0301032	SEC-MC0301033	5/20/2008	Riwe, Julie M.	O'Rourke, Kevin			Zelinsky, Y.; Brockmeyer, K.; Ungar, M.A.; Turner, A.O.; Harfey, P.	Email string forwarding reminder of litigation hold in HO-10576 with response from Kara Brockmeyer	WP	
424	SEC-MC0301034	SEC-MC0301035	5/20/2008	Riwe, Julie M.	Brockmeyer, Kara	O'Rourke, Kevin		Zelinsky, Y.; Brockmeyer, K.; Ungar, M.A.; Turner, A.O.; Harfey, P.	Email string forwarding reminder of litigation hold in HO-10576 and requesting response	WP	
425	SEC-MC0301038	SEC-MC0301039	5/20/2008	Riwe, Julie M.	Gallagher, Jr., Daniel M.; Romero, Christy L.	O'Rourke, Kevin			Email string requesting response to litigation hold reminder notice sent on April 30, 2008	WP	
426	SEC-MC0301909	SEC-MC0301910	5/20/2008	Brockmeyer, Kara	Riwe, J.M.				Response to reminder of litigation hold notice sent out on January 31, 2008 for HO-10576	WP	
427	SEC-MC0302475	SEC-MC0302476	5/20/2008	Romero, Christy L.	Riwe, Julie M.			Gallagher, Jr., Daniel; Kaplan, Robert; O'Rourke, Kevin	Email string forwarding and responding to reminder of litigation hold notice for HO-10576	WP	
428	SEC-MC0300095	SEC-MC0300095	6/2/2008	Riwe, J.	Kaplan, R.B.				Entries containing work product information relating to other investigations along with counsel's evaluation of evidence in HO-10576	WP	Yes

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Item Number	SEEROD	ENRPRO	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
429	SEC-MC0300978	SEC-MC0300979	6/26/2008	Gallagher, Jr., Daniel M.	Rewe, Julie M.; Romero, Christy L.	ORourke, Kevin		Kaplan, R.B.	Email string with response to reminder of litigation hold notice in HO-10576	WP	
430	SEC-MC0302473	SEC-MC0302474	6/26/2008	Gallagher, Jr., Daniel M.	Rewe, Julie M.; Romero, Christy L.	ORourke, Kevin		Kaplan, Robert	Email string forwarding and responding to reminder of litigation hold for HO-10576	WP	
431	SEC-MC0302267	SEC-MC0302267	7/1/2008	Korotash, Stephen J.	Edmundson, Kevin J.			Friestad, S.W.	Forwarding email from Friestad containing comments about agency response to letter from Cuban's counsel in HO-10576	WP, DP	Yes
432	SEC-MC0302220	SEC-MC0302265	7/7/2008	Supervisor	Supervisors				Internal report with attachments regarding conduct of employee not involved in HO-10576 investigation, includes disciplinary action discussion against employee	WP, PA	
433	SEC-MC0302266	SEC-MC0302266	7/7/2008	Supervisor	Supervisors				Email regarding telephone conversation with trial counsel handling HO-10576 regarding conduct of employee not involved in HO-10576 investigation, includes disciplinary action discussion against employee	WP, PA	
435	SEC-MC0301514	SEC-MC0301514	7/17/2008	Supervisor	ORourke, Kevin			Employee Supervisors	Email string attaching memorandum describing handling of litigation hold notice sent to employee in Regional Office, including discussion of disciplinary action against employee	WP, PA	
436	SEC-MC0301515	SEC-MC0301560	7/17/2008	Supervisor	ORourke, Kevin			Employee Supervisors	Memorandum (with exhibits) describing handling of litigation hold notice for HO-10576 sent to employee, including discussion of disciplinary action against employee, attached to SEC-MC0301514	WP, PA	
437	SEC-MC0300747	SEC-MC0300747	9/19/2008	Rewe, Julie M.	Friestad, Scott; Kaplan, Robert; Chaudoin, Daniel T.; ORourke, Kevin				Email transmitting article and highlighting material statement of party for use in litigation	WP	
438	SEC-MC0300748	SEC-MC0300750	9/19/2008	Rewe, Julie M.	Friestad, Scott; Kaplan, Robert; Chaudoin, Daniel T.; ORourke, Kevin				Article with text marked showing statements of party counsel considered salient for upcoming litigation attached to SEC-MC0300747	WP	
439	SEC-MC0301756	SEC-MC0301756	10/24/2008	Rewe, Julie M.	Aderton, Adam S.				Email transmitting draft complaint and draft press release for use in HO-10576	WP	
440	SEC-MC0301757	SEC-MC0301765	10/24/2008	Rewe, Julie M.	Aderton, Adam S.				April 21, 2008 draft of complaint in HO-10576 to be filed in SEC v. Mark Cuban, attached to SEC-MC0301756	WP	
441	SEC-MC0301766	SEC-MC0301767	10/24/2008	Rewe, Julie M.	Aderton, Adam S.				Draft press release prepared in anticipation of filing of civil action against Mark Cuban in HO-10576, attached to SEC-MC0301756	WP, AC, DP	
442	SEC-MC0300020	SEC-MC0300032	10/27/2008	Rewe, J.M., Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.	Office of Secretary/Commissioners; Commission Staff; Case Team				Action Memorandum regarding HO-10576, dated December 31, 2007, discussing law and evidence in support of recommendation	WP, AC, DP	
444	SEC-MC0302382	SEC-MC0302394	10/27/2008	Williams, I.	Commissioners; Commissioners' Staff	Harmon, F.E.; Friestad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Rewe, J.M.; Day, Carmice; O'Rourke, K.P.		Rewe, Julie; Kaplan, Robert; ORourke, Kevin	December 31, 2007 Action Memorandum for HO-10576 setting out evidence and law in support of requested Commission action	WP, AC, DP	
445	SEC-MC0300758	SEC-MC0300758	10/29/2008	Rewe, Julie M.	Kaplan, Robert				Email transmitting draft complaint and press release for HO-10576	WP	
446	SEC-MC0300759	SEC-MC0300760	10/29/2008	Rewe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.; Aderton, Adam S.				Draft press release for HO-10576 with highlighted language for consideration by counsel, attached to SEC-MC0300758	WP, DP	
447	SEC-MC0300861	SEC-MC0300861	10/30/2008	Rewe, Julie M.		ORourke, Kevin			Email transmitting revised draft complaint in HO-10576	WP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	BEGPROD	ENDPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
448	SEC-MC0300662	SEC-MC0300670	10/30/2008	Riwe, J.M.	Kaplan, Robert; Chaudoin, Daniel T.; Aderton, Adam S.	ORourke, Kevin			October 30, 2008 draft of complaint for SEC v. Mark Cuban attached to SEC-MC0300661	WP	
449	SEC-MC0300754	SEC-MC0300754	10/30/2008	Riwe, Julie M.	Kaplan, Robert				Email transmitting drafts of press release to be issued when complaint filed in HO-10576 for review and revision with specific questions from investigative counsel	WP, DP	
450	SEC-MC0300755	SEC-MC0300756	10/30/2008	Riwe, Julie M.	Kaplan, Robert				Draft of press release to be issued when complaint filed in HO-10576 highlighting language to be considered by counsel, attached to SEC-MC0300754	WP, DP	
451	SEC-MC0300757	SEC-MC0300757	10/30/2008	Riwe, Julie M.	Kaplan, Robert				Draft of litigation release to be issued when complaint filed in HO-10576 to be considered by supervisory counsel, attached to SEC-MC0300754	WP, DP	
452	SEC-MC0300795	SEC-MC0300795	10/30/2008	Kaplan, Robert	Bondi, Bradley J.				Email planning a meeting to discuss Cuban litigation	WP, DP	
453	SEC-MC0300004	SEC-MC0300005	11/7/2008	Kaplan, Robert	Thomsen, Linda; Friestad, Scott; Curtis, George; McKown, Joan	Riwe, Julie M.		Buford, Charlotte; Doty, Nancy; McCants, Shirle	Email string with summary of recommendation for HO-10576 and note by R.Kaplan re: preparations for Commission Executive Session	WP, AC, DP	
454	SEC-MC0300018	SEC-MC0300019	11/7/2008	Kaplan, Robert	Riwe, Julie M.				Email string forwarding summary of recommendation for HO-10576 in preparation for upcoming November 13, 2008 Commission Executive Session	WP, AC, DP	
455	SEC-MC0300090	SEC-MC0300090	11/7/2008	Riwe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.; ORourke, Kevin; Aderton, Adam S.				Email transmitting hypothetical questions and draft answers to assist counsel in preparing for November 13, 2008 Commission Executive Session	WP, DP, AC	
456	SEC-MC0300091	SEC-MC0300093	11/7/2008	Riwe, Julie M.	Kaplan, Robert; Chaudoin, Daniel T.; ORourke, Kevin; Aderton, Adam S.				Hypothetical questions and draft answers to assist counsel in preparing for November 13, 2008 Commission Executive Session HO-10576 attached to SEC-MC0300090	WP, AC, DP	
457	SEC-MC0300751	SEC-MC0300751	11/7/2008	Friestad, Scott	Kaplan, Robert	Riwe, Julie M.			Email string transmitting draft press release to be issued after complaint filed and discussing language of press release	WP, DP	
458	SEC-MC0300752	SEC-MC0300753	11/7/2008	Kaplan, Robert	Friestad, Scott; Riwe, J.M.				Draft of press release to be issued when complaint filed in HO-10576 including alternative language to be considered by counsel, attached to SEC-MC0300751	WP, DP	
459	SEC-MC0302495	SEC-MC0302496	11/7/2008	Kaplan, Robert	Thomsen, Linda; Friestad, Scott; Curtis, George; McKown, Joan	Riwe, Julie M.		Buford, Charlotte; Doty, Nancy; McCants, Shirle	Email string forwarding summary of HO-10576 and staff recommendation in preparation for November 13, 2008 Commission Executive Session	WP, AC, DP	
460	SEC-MC0302399	SEC-MC0302402	11/10/2008	Pisto, L.W.; Levine, R.A.	Bondi, B.J.; Broadbent, C.L.; Burns, J.R.; Cohen, A.F.; Daigler, M.; Daly, J.D.; Davis, B.A.; Dimitriou, D.R.; Freeman, S.K.; Gallagher, M.K.; Jensen, D.L.; Jones, C.H.; Kaput, J.L.; Kimpel, S.H.; Martin, B.J.; May, Z.S.; Post, M.L.; Ramarathnam, S.S.; Rodrigues, C.; Romero, C.L.; Sheppard, L.; Uhlmann, P.; Vaughan, L.; Wheat, M.				Memorandum from the Office of General Counsel providing legal advice on Action Memorandum recommendation for HO-10576	WP, AC, DP	
461	SEC-MC0301222	SEC-MC0301222	11/11/2008	Riwe, Julie M.	ORourke, Kevin; Aderton, Adam S.				Email forwarding memorandum prepared by Office of General Counsel addressing legal and evidentiary issues in HO-10576	WP, AC	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	MSG#	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
462	SEC-MC0301499	11/11/2008	Friedstad, Scott	Thomsen, Linda ; McKown, Joan; Curtis, George				Email regarding Chairman's intent with respect to Commission Executive Session on November 13, 2008	WP, DP	
463	SEC-MC0300876	11/12/2008	Riewe, Julie M.	Kaplan, Robert				Email string forwarding legal decision and discussing transcripts of testimony in HO-10576	WP, DP	
464	SEC-MC0301158	11/12/2008	Friedstad, Scott	McKown, Joan; Curtis, George			Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.	Office of General Counsel on HO-10576 Action Memorandum	WP, AC, DP	
465	SEC-MC0301159	11/12/2008	Levine, R.A.; Pisto, L.	Friedstad, S.W.; Kaplan, R.B.; Chaudoin, D.T.; Riewe, J.M.; McKown, J.				Draft memorandum containing Office of General Counsel analysis of evidence and legal issues raised in HO-10576 prepared in anticipation of November 13, 2008 Commission Executive Session	WP, AC, DP	
466	SEC-MC0301223	11/12/2008	Levine, R.A.; Pisto, L.	ORourke, Kevin ; Aderton, Adam S. ; Riewe, J.M.				Memorandum prepared by Office of General Counsel addressing legal and evidentiary issues in HO-10576 attached to SEC-MC0301222	WP, AC, DP	
467	SEC-MC0301227	11/12/2008	ORourke, Kevin	Mella, Lou				Email forwarding Memorandum prepared by Office of General Counsel addressing legal and evidentiary issues in HO-10576	WP, DP	
468	SEC-MC0301228	11/12/2008	Levine, R.A.; Pisto, L.	ORourke, Kevin ; Aderton, Adam S. ; Riewe, J.M.	Mella, Lou			Memorandum prepared by Office of General Counsel addressing legal and evidentiary issues in HO-10576 attached to SEC-MC0301222	WP, AC, DP	
469	SEC-MC0302468	11/12/2008	Kaplan, Robert	Thomsen, Linda			Levine, Richard; Friedstad, Scott; Chaudoin, Robert; Riewe, Julie	Email forwarding memorandum prepared by the Office of General Counsel regarding HO-10576 in preparation for Commission deliberation on November 13, 2008.	WP, AC	
470	SEC-MC0302469	11/12/2008	Levine, R.A.; Pisto, L.W.	Kaplan, R.B.	Thomsen, Linda			Internal memorandum prepared by the Office of General Counsel, providing legal advice to Commission to assist its decision-making on request for authorization to file civil suit against Mark Cuban in HO-10576, attached to SEC-MC0302468	WP, AC, DP	
471	SEC-MC0300761	11/13/2008	Kaplan, Robert	Riewe, Julie M.				Email string discussing alternative approaches to presenting recommendation for bringing insider trading action in HO-10576 to Commission	WP, DP	
472	SEC-MC0300763	11/13/2008	Riewe, Julie M.	Kaplan, Robert ; Chaudoin, Daniel T.				Email discussion of question raised by Office of General Counsel to assist counsel in providing its evaluation to the Commission in HO-10576	WP, AC, DP	
473	SEC-MC0300764	11/13/2008	Riewe, Julie M.	Kaplan, Robert				Draft summary presentation to the Commission in support of recommendation to file action in HO-10576 for review by counsel	WP, DP	
474	SEC-MC0301485	11/13/2008	Riewe, Julie M.	Friedstad, Scott				Email string forwarding draft press release discussing proposed text of release in anticipation of filing civil action in HO-10576.	WP, DP	
475	SEC-MC0301486	11/13/2008	Riewe, Julie M.	Friedstad, Scott			Kaplan, Robert; Riewe, Julie; Kaplan, Robert; Friedstad, Scott;	Draft press release for HO-10576 attached to SEC-MC0301485.	WP, DP	
476	SEC-MC0301500	11/13/2008	Zelinsky, Yuri	Friedstad, Scott				Email forwarding status information regarding HO-09900 investigation and response thereto	WP, DP	
477	SEC-MC0301492	11/14/2008	Friedstad, Scott	Nester, John J. ; Callahan, Kevin J. ; Heine, John D.	Kaplan, Robert ; Riewe, Julie M.		Riewe, Julie; Kaplan, Robert; Friedstad, Scott; Nester, John; Callahan, Kevin; Heine, John	Email discussing and forwarding revised press release and draft statement about Commission decision in authorizing filing of civil action against Mark Cuban in HO-10576	WP, DP	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-19-2010 Production - Electronic Document WP Privilege Log

Index Number	SEEROD	ENPROJ	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
478	SEC-MC0301493	SEC-MC0301494	11/14/2008	Friestad, Scott	Nester, John J.; Callahan, Kevin J.; Heine, John D.	Kaplan, Robert; Riewe, Julie M.		Riewe, Julie; Kaplan, Robert; Friestad, Scott; Nester, John; Callahan, Kevin; Heine, John	Draft press release for HO-10576 showing redlined revisions, attached to SEC-MC0301492.	WP, DP	
480	SEC-MC0300765	SEC-MC0300766	11/15/2008	Kaplan, Robert	Riewe, Julie M.; Friestad, Scott				Email discussion among counsel about draft litigation release for HO-10576 and raising questions about draft to S.W. Friestad	WP, DP	
481	SEC-MC0300767	SEC-MC0300767	11/15/2008	Riewe, J.M.	Kaplan, R.B.; Friestad, S.W.				Counsel's draft litigation release to be issued when complaint filed in HO-10576	WP, DP	
482	SEC-MC0301488	SEC-MC0301488	11/17/2008	Friestad, Scott	Kaplan, Robert; Riewe, Julie M.			Riewe, Julie; Kaplan, Robert; Friestad, Scott; Nester, John; Callahan, Kevin; Heine, John	Email string discussing and forwarding revised press release and draft statement about Commission decision in authorizing filing civil action against Mark Cuban in HO-10576	WP, DP	
483	SEC-MC0301489	SEC-MC0301490	11/17/2008	Friestad, Scott	Kaplan, Robert; Riewe, Julie M.			Riewe, Julie; Kaplan, Robert; Friestad, Scott; Nester, John; Callahan, Kevin; Heine, John	Draft press release for HO-10576 showing redlined revisions, attached to SEC-MC0301488.	WP, DP	
484	SEC-MC0301491	SEC-MC0301491	11/17/2008	Friestad, Scott	Kaplan, Robert; Riewe, Julie M.			Riewe, Julie; Kaplan, Robert; Friestad, Scott; Nester, John; Callahan, Kevin; Heine, John	Draft statement about Commission decision in authorizing the filing of a civil action against Mark Cuban, attached to SEC-MC0301488.	WP, DP	
486	SEC-MC0302487	SEC-MC0302488	11/17/2008	Riewe, Julie M.	Gillette, Veronica L.; Akins, Carlene; News Digest	Kaplan, Robert; Peterson, Jill M.; Callahan, Kevin J.; Heine, John D.; Nester, John J.; Friestad, Scott			Email forwarding SEC v. Cuban complaint, along with original and revised news digest and litigation release	WP, DP	
487	SEC-MC0302489	SEC-MC0302489	11/17/2008	Riewe, Julie M.	Gillette, Veronica L.; Akins, Carlene; News Digest	Kaplan, Robert; Peterson, Jill M.; Callahan, Kevin J.; Heine, John D.; Nester, John J.; Friestad, Scott			Draft press release prepared in anticipation of filing action in SEC v. Cuban, attached to SEC-MC0302489	WP, DP	
488	SEC-MC0302490	SEC-MC0302490	11/17/2008	Riewe, Julie M.	Gillette, Veronica L.; Akins, Carlene; News Digest	Kaplan, Robert; Peterson, Jill M.; Callahan, Kevin J.; Heine, John D.; Nester, John J.; Friestad, Scott			Draft litigation release on SEC v. Mark Cuban, attached to SEC-MC0302489	WP, DP	
489	SEC-MC0302505	SEC-MC0302505	11/17/2008	Nester, John J.	Friestad, Scott	Callahan, Kevin J.; Heine, John D.		Kaplan, Robert, Riewe, Julie	Email string forwarding revisions to draft press releases for use upon filing of complaint in SEC v. Mark Cuban.	WP, DP	
490	SEC-MC0302506	SEC-MC0302507	11/17/2008	Nester, John J.	Friestad, Scott	Callahan, Kevin J.; Heine, John D.		Kaplan, Robert, Riewe, Julie	Redlined revisions of J. Nester to press release in preparation for filing complaint in SEC v. Mark Cuban, attached to SEC-MC0302505.	WP, DP	
491	SEC-MC0302508	SEC-MC0302508	11/17/2008	Nester, John J.	Callahan, Kevin J.			Friestad, Scott; Kaplan, Robert, Riewe, Julie	Email string responding to redlined revisions to draft press release in preparation for filing complaint in SEC v. Mark Cuban	WP, DP	
492	SEC-MC0302509	SEC-MC0302510	11/17/2008	Nester, John J.	Callahan, Kevin J.			Friestad, Scott; Kaplan, Robert, Riewe, Julie	Redlined revisions of J. Nester to press release in preparation for filing complaint in SEC v. Mark Cuban, attached to SEC-MC0302508.	WP, DP	

AG = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-18-2010 Production - Electronic Document WP Privilege Log

Index Number	BEG PROD	END PROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
493	SEC-MC0302511	SEC-MC0302511	11/17/2008	Nester, John J.	Callahan, Kevin J			Friestad, Scott; Kaplan, Robert; Rewe, Julie	Draft press statement prepared by J. Nester for responding to inquiries regarding actions of employee not involved in HO-10576 and Mark Cuban investigation, includes disciplinary action discussion against employee, attached to SEC-MC0302508.	WP, DP, PA	
494	SEC-MC0302561	SEC-MC0302563	11/17/2008	Jones, C.H.	Romero, Christi L.			Callahan, Kevin	Email forwarding and discussing language of draft press release for use upon filing of SEC v. Mark Cuban	WP, DP	
495	SEC-MC0302569	SEC-MC0302569	11/17/2008	Callahan, Kevin J	Nester, John J.; Friestad, Scott	Heine, John D.		Kaplan, Robert; Rewe, Julie	Email responding to draft press release for use upon filing of SEC v. Mark Cuban	WP, DP	
496	SEC-MC0302571	SEC-MC0302571	11/17/2008	Weinstein, Andrew	Nester, John J.				Email string forwarding and responding to proposed statement for responding to press inquiries about Commission deliberation prior to filing civil complaint in SEC v. Mark Cuban	WP, DP	
497	SEC-MC0302579	SEC-MC0302579	11/17/2008	Weinstein, Andrew	Uhlmann, Peter; Cohen, Alexander F.; Cartwright, Brian G.; Ruiz, Diego T.			Nester, John; Weinstein, Andrew; Uhlmann, Peter; Cohen, t, Brian G.; Holmire, Erik; Ruiz, Diego	Email forwarding draft response to press inquiries about Commission deliberation prior to filing civil complaint in SEC v. Mark Cuban	WP, DP	
498	SEC-MC0302584	SEC-MC0302585	11/17/2008	Cartwright, Brian G.	Humes, Richard M.; Nester, John J.; Mejia, Lou; Kaplan, Robert; Adler, Mark A.				Email forwarding draft response to press inquiries about Commission deliberation prior to filing civil complaint in SEC v. Mark Cuban for purpose of obtaining legal advice on content of draft response	WP, AC	
499	SEC-MC0302566	SEC-MC0302566	11/18/2008	Friestad, Scott	Nester, John J.; Friestad, Scott; Kaplan, Robert; Adler, Mark A.				Email discussing possible response to Cuban blog posting forwarded by member of the press	WP, DP	
500	SEC-MC0302567	SEC-MC0302567	11/18/2008	Mella, Lou	Nester, John J.; Friestad, Scott; Kaplan, Robert; Adler, Mark A.				Email discussing possible response to Cuban blog posting forwarded by member of the press	WP, DP	
501	SEC-MC0302796	SEC-MC0302796	11/21/2008	Kaplan, Robert	Friestad, Scott				Email string discussing response to allegations made by counsel for Cuban	WP	
502	SEC-MC0302581	SEC-MC0302583	11/21/2008	Thomsen, Linda	Enforcement Division nationwide			Thomsen, Linda; Staff in SEC Enforcement Division	Redacting information and internal discussion of SEC cases not responsive to pending discovery	WP, DP, PA	
504	SEC-MC0300648	SEC-MC0300650	8/12/2009	Turner, A.O.	Harley, Paul; Koch, A.				Redlined draft Investigation Closing Narrative for HO-09900, discussing investigation conducted, conclusions reached and satisfaction of internal compliance requirements	WP, DP	
506	SEC-MC0300620	SEC-MC0300620	8/14/2009	Turner, Alton O.	Harley, Paul; Koch, A.				Email string transmitting draft closing memo for HO-09900	WP	
507	SEC-MC0300609	SEC-MC0300609	8/19/2009	Turner, Alton O.	Zelinsky, Yuri				Email transmitting draft closing memo for HO-09900	WP, DP	
508	SEC-MC0300610	SEC-MC0300612	8/19/2009	Turner, A.O.	Zelinsky, Y.	Harley, Paul			Draft Investigation Closing Narrative for HO-09900 investigation, discussing investigation conducted, conclusions reached and satisfaction of internal compliance requirements attached to SEC-MC0300609	WP, AC, DP	
510	SEC-MC0300651	SEC-MC0300653	1/22/2010	McGarey, Timothy N.	Draddy, S				Draft letter to counsel at FINRA responding to request for information relating to Copicomic and discussing notice to Copicomic closing of HO-09900 investigation, attached to SEC-MC0300654	WP, AC, LE	
511	SEC-MC0300624	SEC-MC0300635	1/30/2005	Harley, Paul	McGary, T.N.				Draft outline for taking testimony of Guy Faure in HO-09900 forwarded to counsel for purposes of obtaining legal advice	WP, AC	

AC = Attorney/Client Privilege, DP = Deliberative Process, LE = Law Enforcement Privilege, PA = Privacy Act Protection, WP = Work Product Protection

SEC v. Cuban 04-16-2010 Production - Electronic Document WP Privilege Log

Index Number	BEGPROD	ENCPROD	DATE	FROM	TO	CC	BCC	OTHER EMAIL PARTICIPANTS	SUBJECT	Privilege	Redacted
512	SEC-MC0300355	SEC-MC0300359	2/00/2007	Rewe, J.M.	Kaplan, R.B.				Draft action memorandum presenting material facts, discussing legal issues and requesting the Commission to issue a formal order of investigation for HO-10576.	WP, AC, DP	
513	SEC-MC0300374	SEC-MC0300378	2/00/2007	Rewe, J.M.	Kaplan, R.B.	Chaudoin, D.T.			Draft action memorandum presenting material facts, discussing legal issues and requesting the Commission to issue a formal order of investigation for HO-10576.	WP, AC, DP	
514	SEC-MC0300360	SEC-MC0300364	3/00/2007	Rewe, J.M.	Kaplan, R.B.; Chaudoin, D.T.				Draft Action Memorandum to Commission presenting material facts, discussing legal issues and seeking formal order of investigation for HO-10576.	WP, AC, DP	
515	SEC-MC0300103	SEC-MC0300112	4/00/2007	Kaplan, R.B.	Friestad, S.W.				Draft Quarterly Status Report on ongoing investigations including information on HO-10576 with privileged, non-responsive information redacted.	WP	YES
516	SEC-MC0300614	SEC-MC0300616	8/00/2009	Turner, A.O.; Harrey, P.	Koch, Alexander	Harrey, P.			Draft (with redlines) Investigation Closing Narrative for HO-09900 investigation, discussing investigation conducted, conclusions reached and satisfaction of internal compliance requirements attached to SEC-MC0300613.	WP, AC, DP	
517	SEC-MC0300617	SEC-MC0300619	8/00/2009	Turner, A.O.	Koch, Alexander	Harrey, P.			Draft (with redlines) Investigation Closing Narrative for HO-09900 investigation, discussing investigation conducted, conclusions reached and satisfaction of internal compliance requirements.	WP, DP, AC	
518	SEC-MC0300621	SEC-MC0300623	8/00/2009	Turner, A.O.	Harrey, Paul				Draft Investigation Closing Narrative for HO-09900, discussing investigation conducted, conclusions reached and satisfaction of internal compliance requirements attached to SEC-MC0300620.	WP, DP, AC	
519	SEC-MC0300013	SEC-MC0300013		Rewe, Julie	Korotash, S.				Email attaching litigation hold notice for HO-10576.	WP	
520	SEC-MC0300950	SEC-MC0300950		ORourke, Kevin	Kaplan, Robert; Rewe, Julie M.				Additional discussion to be included in draft Action Memorandum for HO-10576 discussing legal strategy and evidentiary issues.	WP, DP, AC	
521	SEC-MC0301124	SEC-MC0301146		Rewe, Julie M.	ORourke, Kevin				Table listing Wells arguments and counsel's responses thereto attached to SEC-MC0301123.	WP, AC	
522			3/1/2007	Walker, Dick; Cutler, Steve	SEC Enforcement Division				New Division Policy on Confirmation of Wells Notices - Privileged & Confidential - updated March 1, 2007.	WP, DP, AC	
523	SEC-MC0301797	SEC-MC0301798	9/21/2007	Rewe, J.M.	Chaudoin, D.T.	Friestad, S.; O'Rourke, K.P.			Email string among case counsel discussing statements of Meriman Curran employee during telephone interview for HO-10576 investigation.	WP	
524	SEC-MC0301799	SEC-MC0301780	9/21/2007	Rewe, J.M.	Chaudoin, D.T.	Friestad, S.; O'Rourke, K.P.			Email string among case counsel discussing statements of Meriman Curran employee during telephone interview for HO-10576 investigation.	WP	
525	SEC-MC0301574	SEC-MC0301574	8/18/2007	Friestad, Scott	Supervisor				Emails discussing issue raised by counsel for Cuban and potential impact on future litigation, attaching SEC-MC0301568-73.	WP, DP	

AC = Attorney/Client Privilege DP = Deliberative Process LE = Law Enforcement Privilege PA = Privacy Act Protection WP = Work Product Protection